

National Association for Information Destruction, Inc.



NAID[®] Certification International *2018*

World Headquarters
3030 N. 3rd St., Suite 940, Phoenix, AZ 85012
Phone: (602) 788-6243 & Fax: (480) 658-2088
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ABOUT THE CERTIFICATION PROGRAM

The NAID Certification Program is offered on a voluntary basis to all NAID member companies providing information destruction services. NAID members may seek certification Mobile and/or Plant-based Operations in Paper/Printed Media, Micro Media, Physical Hard drive and Non-Paper Media destruction. The NAID Certification Program establishes standards for secure destruction process including areas in security, employee screening, operational destruction process and insurance.

NAID Members seeking initial Certification are required to submit the most current Certification Application and applicable fees to NAID Headquarters. Once the completed application is received an auditor is assigned to perform the initial audit. All audits are performed by security professionals with the Certified Protection Professional (CPP) accreditation issued by the American Society for Industrial Security.

Upon completion of a successful audit, the member is issued a certificate including their company name, type(s) of operations and endorsements for that location. The NAID Member is also listed on the NAID website as a certified location. This Certification is in effective for one calendar year.

Certified NAID Members are required to apply for recertification on an annual basis in order to retain their Certification. The most current Certification Application and applicable fees must be submitted to NAID prior to the first day of the month in which the current Certification expires. After the initial audit, recertification audits will then be required every other year. During the years in which an audit is required, the process for initial audits will be repeated. For non-audit years, Certification will be awarded once a completed application and applicable fees are received, prior to the expiration date.

Under the above program, the certification application and applicable fees cover only individual locations. If a NAID member operates in multiple locations, each location must submit an application and pass an audit to be certified. NAID members who receive certification must specify which location is certified in company literature when referencing the NAID Certification Program.

The following packet is designed to help further familiarize applicants with the NAID Certification Program and to clarify the specific information required to have a successful audit and maintain certification. Additional forms can also be found at www.naidonline.org. NAID is committed to maintaining the integrity of the Certification Program and is here to assist your company in achieving Certification. Any questions can be directed to certification@naidonline.org.

NAID[®] Certification Application

2018

International (Outside U.S. & Canada) Applicants only

Company Name: _____ Audit Contact: _____

Physical Address: _____ Unit/Ste: _____

City: _____ State: _____ Postal Code: _____

Phone: _____ Fax: _____ Email: _____

Profile Information

No. of Destruction Employees: _____ No. Of Vehicles: Destruction: _____ Collection: _____

Hours of Operation: _____ First Truck Dispatched Time: _____

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

No Yes (list address): _____

Type of Audit:

Initial If an initial audit are you using a NAID approved consultant? No Yes

Name of Consulting Firm: _____ (Consulting firm must be pre-approved by NAID)

Recertification

Operation(s) & Endorsement(s):

MOBILE

PAPER OR PRINTED MEDIA

MICRO MEDIA (Microfiche or Microfilm only)

PHYSICAL HARD DRIVES

NON-PAPER MEDIA

PRODUCT DESTRUCTION

PLANT-BASED

PAPER OR PRINTED MEDIA

MICRO MEDIA (Microfiche or Microfilm only)

PHYSICAL HARD DRIVES

NON-PAPER MEDIA

PRODUCT DESTRUCTION

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): _____

TRANSFER PROCESSING STATION(S)

Associated Plant (City, State): _____

Do you offer any other certifiable services, for which you are NOT seeking NAID Certification? No Yes (list): _____

Custodial Service:

If you accept intermediary or temporary custody of confidential material prior to destruction then the entire process is eligible for certification. (If you would like to add this to your certification please check all that apply and fill out the NAID Custodial Membership/Certification Addendum.)

Records Storage

Data Recovery/Forensic Breach Investigation

Document Scanning/Imaging

Online Backup

Aggregator/Transportation

Backup Tape Rotation

NAID Use Only			
New or Recert:	Auditor:	Audit #:	Audit Required: YES NO
Received:	Complete:	DBU:	Expires:



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Email: accounting@naidonline.org

2018 NAID AAA Certification Application Payment Authorization

International Members (outside U.S. and Canada) – checks will not be accepted

- Application Fee (per site):** **USD \$1935** Mobile OR Plant-based Operation **USD \$1545** Transfer Processing Station
 USD \$2150 Mobile AND Plant-based Operations **USD \$2150** Mobile Op w/Transfer Processing Station

COMPANY NAME _____ CITY, STATE/PROV _____

Method of Payment (select one):

- ONE TIME PAYMENT BY WIRE TRANSFER** (send your request for wire transfer information to accounting@naidonline.org)
- ONE TIME PAYMENT BY CREDIT CARD** – AmEx / MC / Visa / Discover (complete form below, print out and send via mail or fax)

NAME ON CARD: _____

BILLING ADDRESS: _____

CREDIT CARD # _____ EXP _____ CVV _____

NAME (PRINT): _____ TITLE: _____

SIGNATURE: _____ DATE: _____

NAID USE ONLY				
Audit #:	New/Recert:	App Rcvd:	Acct Rcvd:	Processed:

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 NAID Certification or does business. NAID is not responsible for the compliance of its individual NAID Certified members. Therefore, if the applicant Company believes that anything in this Application or the audit process is, or may be, in violation of any laws applicable to the applicant Company, such Company must notify NAID, concurrently with the submission of its NAID 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 in violation 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: (Must use NAID Approved Forms. To be submitted with application.)

- 1) **Access and Non-Access Employee List** - A list of all employees indicating job, date of hire, citizen and access/non-access.
- 2) **List of Destruction and Collection Vehicles** – A List of all destruction and collection vehicles including the vehicle make and model, VIN, license plate number and the state the vehicle registered.
- 3) **List of Recipients of Destroyed Media** – A list of all companies who receive the destroyed media and are responsible for disposition of materials (pulping, incineration, smelting, etc.).
- 4) **Subcontractor list** (if applicable) – A list of all companies used to subcontract any part of the information destruction process.
- 5) **Special Consideration Letter** (only applicable for hardship) – Letter requesting a temporary or conditional qualification for a specific NAID Certification criteria; only considered under extreme or special circumstance. Applicant must submit a written request identifying the specific hardship or special circumstance for consideration, and state how the applicant will achieve the intent of the criteria given their circumstances. The NAID Certification Review Board will review and respond to all requests.

We agree with and are bound to the following: (Please sign on bottom to indicate agreement with the following items.)

1. NAID Certification is optional and is not required for NAID membership.
2. The Company is an Active or Franchise Member of NAID in good standing and with no outstanding debt to the association. In order to gain or maintain NAID Certification, the Company must be a NAID member in good standing.
3. Owners or Senior management of the Division of the Company that conduct the secure shredding operation have read and understand the NAID Certification Audit Methodology, which makes clear the documentation, facilities and equipment that each location will be required to have available and immediately accessible to the NAID Auditor.
4. Any failure to make accessible for inspection all documentation, facilities, and equipment on the date, time and location identified on the *Auditor Assignment & Confidentiality Agreement* (Appointment) Form may result in failure to be NAID 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.
5. All application fees are non-refundable, except in the instance where the NAID Auditor fails to conduct the audit on the date, time and location indicated on the *Auditor Assignment & Confidentiality Agreement* (Appointment) form; and when, in such circumstance, the Company decides to withdraw their application.
6. At no time will the label “NAID Certification” or “NAID Certified” be applied, referenced or inferred to facilities or operations of the Company where 1) the location and operating details related to the facility or operation have not been specifically and formally provided to NAID for participation in the NAID Certification program, or 2) the facility or operation does not have any involvement related to the collection, transport, processing and/or destruction of Confidential Customer Materials.
7. The Company must reapply for NAID Certification on an annual basis, prior to the expiration of the current NAID Certification. If the Company chooses not to reapply and/or not to submit to the required audit, it will result in loss of NAID Certification. Loss of NAID Certification will not affect NAID membership.
8. The Company understands that NAID Certification status is public information. Information regarding renewals, lapses, certified operations and endorsements, Company contact information, and the Certification expiration date are displayed on the NAID website and made available to email subscribers.
9. The Company will hold NAID harmless from any claim of damage or loss as a result of the Company’s failure to achieve NAID Certification.

10. The Company agrees that any location seeking NAID Certification will be NAID Certified for Micro Media (Microfiche and Microfilm) destruction **only if** the Company: 1) indicates in the application for such location that the location possesses equipment that meets the required specification; 2) the equipment was inspected by the NAID Auditor at the time of the NAID Certification audit; and 3) the destruction is being performed at the location (generally only at plant-based operations) for which the Company is seeking NAID Certification.
11. The Company agrees that any location seeking NAID Certification will be NAID Certified for Computer Hard Drive destruction only if: 1) the Company has an established and published standard destruction method for physically destroying computer hard drives; 2) all Customers receiving Computer Hard Drive Destruction services have agreed to or have been notified in writing to these standard procedures or other specific procedures; 3) these standard procedures have been demonstrated to the NAID Auditor during the NAID Certification audit of this location; and 4) the destruction is being performed at the location (generally only at plant-based operations) for which the Company is seeking NAID Certification.
12. The Company understands and agrees that if a location becomes NAID Certified for Mobile Operations only, then the Company must always destroy while on or near the Customer's premises unless the Customer has agreed in writing (including notification to the Customer by e-mail or as part of the Customer's agreement with the Company) to permit destruction at a site remote from the Customer's location. If the Company's mobile unit performs the shredding away from the Customer site without such written consent or notice, the Company will be considered to be no longer following the Mobile Certification standards and may be subject to review and investigation by the NAID Certification Review Board.
13. The Company understands and agrees that if the Company is applying for Plant-based Operations, the Company must maintain at least 90 days of CCTV recordings for each plant or Transfer Processing Station and must be able to produce them during the time of an audit. If the Company is unable to produce the 90 days of recordings at an audit, the Company may be subject to a reaudit, including associated costs for this re-audit.
14. The Company understands that the specifications and fees for NAID Certification are subject to change at the discretion of the NAID Board of Directors.
15. All of the Company's employees are legally registered to work in the country to which this Application applies, and the Company has all necessary documentation to confirm this (see the Employment Information Disclaimer).
16. The Company understands that it is 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.
17. If restrictive employment agreements are in place that would prevent the Company from conducting drug screening and/or criminal record searches, the Company will provide a detailed description of such restrictions with this application.
18. The Company understands that random Unannounced Audits are part of the NAID Certification Program. Only if asked and not a hardship, the Company will allow access to a NAID Auditor for purposes of conducting such Unannounced Audits.
19. The Company understands that the NAID Certification Review Board tracks verified reports of certification non-compliance per company/location and may issue fines and/or sanctions or recommend removal of certification for certification violations, in accordance with the Certification Review Board Guidelines. Such fines and/or sanctions are in addition to any remedial actions ordered by the Certification Review Board (CRB) to bring the operation back into compliance. All fines must be paid within 30 days, unless the Company chooses to appeal the CRB's decision, in which case a formal appeal must be submitted to NAID Headquarters no later than 45 days after the date of notification of the fine/sanction. The Company understands that the NAID Complaint Resolution Council (CRC) will review appeals of CRB fines/sanctions, and the Company will be granted the opportunity to provide spoken testimony within 30 days of the formal submission of the appeal. The NAID Board of Directors will review the CRC's recommendation and make the final decision on all appeals. The Company will accept the ruling of the NAID Board of Directors as final and seek no further remedy, legal or otherwise.
20. The Company understands and agrees that the NAID Auditor may inspect and test its access control systems related to the facilities, containers and vehicles used to provide secure destruction services during announced and unannounced audits and will not consider such inspection and testing to be a violation of the law, provided such inspection and testing does not result in property damage or the risk of personal injury and is undertaken solely for the purpose of ascertaining compliance with NAID Certification.
21. At any time during the application and/or audit process or after NAID Certification is approved by the NAID Certification Review Board, the Company acknowledges that NAID, its agents and/or the NAID Auditor may investigate or require additional information or documentation from the Company in order to verify information on this Application or the NAID Certification criteria.
22. The Company understands and agrees that all of its employees and agents will refrain from any false or misleading claims, suggestions or references regarding NAID Certification, including but not limited to such claims used in advertising produced in advance and/or in anticipation of NAID Certification at some future date.
23. If the Company has a change in address, ownership, or the operations/services it offers to Customers any time during a pending NAID Certification application or audit, or while the Company is NAID Certified, the Company must notify NAID in writing within 15 business days of this status change. **Failure to do so may result in fines, sanctions and/or revocation of NAID Certification.**

24. The Company understands and agrees that should it undergo a change in controlling interest in ownership, it will notify the controlling interest that written verification must be provided to NAID within 30 calendar days of the date the acquisition is final. The written notice must also state that the controlling interest will continue to operate within NAID Certification standards under the new ownership, and that it will submit to an audit within six months of the date the acquisition is final. Failure to apply for, or to successfully pass an audit under the new ownership may result in removal of certification.
25. If the Company is certified for plant-based operations, the Company agrees that should it relocate to a new location it will provide to NAID written verification within fifteen days of the date of the move that the Company will continue to operate within NAID Certification standards at the new location, and that it will submit to an audit within six months of the date of the move. Failure to apply for, or to successfully pass an audit at the new location, may result in removal of certification.
26. The Company agrees that all destruction locations will utilize Company service paperwork or contract that includes Customer acknowledgement, receipt or agreement regarding the specific service it is receiving. If destruction services rendered by the Company after it is NAID Certified are not among those for which the Company is NAID Certified, but such services could be NAID Certified (plant-based, mobile operations or sanitization operations, and/or destruction endorsements for paper/printed media, micro media or computer hard drives) and/or are recycling services of unshredded/intact paper, then the Customer must be notified in writing that such service is NOT NAID Certified. This written notification may be contained on a materials receipt, certificate of destruction, current Customer agreement/contract or another written notice (including e-mail or another electronic method that may be printed) delivered by the Company to the Customer/recipient of services.
27. The Company agrees that if any location for which it is seeking NAID Certification becomes NAID Certified, then if at any time during the audit process or NAID Certification the Company elects to discontinue any or all NAID Certification operations or endorsements for such location, the Company must notify NAID in writing within 30 days of this status change and has an ethical responsibility to inform clients (aware of the Company's NAID Certification status) of the change.
28. The Company understands that ALL NAID certifiable services/operations being offered to the Company's Customers must be NAID Certified in order to gain and maintain NAID Certified status. If the Company adds a certifiable operation after NAID Certification has been approved, it has 6 months in which to apply for NAID Certification of the new operation. **Failure to apply for and/or successfully pass an audit of all certifiable operations may result in the removal of all NAID Certifications.**
29. The Company understands that the NAID Auditor does NOT approve or deny NAID 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 NAID Certification, or denial of application.
30. The Company has 14 business days (as determined by the date on the notice sent to the Company regarding the results of an audit) to submit to the NAID Complaint Resolution Council in writing any protest of the results of an audit. The Company understands that the protest should clearly state the perceived reason of the failure to achieve NAID Certification and why the finding is incorrect. The Company understands that the NAID Complaint Resolution Council will review the dispute in accordance with the Complaint Resolution Council Guidelines, and any ruling on the appeal is subject to the approval of the NAID Board of Directors. The Company will accept the ruling as final and seek no further remedy, legal or otherwise, except to reapply for NAID Certification at the Company's discretion.
31. This Application is truthful and accurately represents the daily operating procedures of the Company's secure shredding operations. The Company understands that if any of its representatives willfully deceive NAID or a NAID Auditor, the Company could be immediately removed from NAID or the NAID Certification may be revoked.
32. Indications of the signatory's signature below acknowledge that I am an owner, corporate officer or official representative of the Company submitting this Application. The undersigned has full authority to request that the Company apply for NAID Certification and submit to any requisite audits, with full knowledge of the Company's operation to accurately complete the Application, and the authority to execute this agreement.

This information provided in this application is truthful and accurate. I have permission and legal authority to bind the organization to the above agreements in this application. By signing below, I agree to adhere to the above agreements.

Signed: _____ Date: _____

Print Name: _____ Title: _____

	Initial	Criteria	Audit Methodology
EMPLOYEE REQUIREMENTS			
1.1	Applicant Claims <hr/> NAID USE ONLY Verified <hr/>	<p><i>All Access Employees and Non-Access Employees</i> must have the following on file:</p> <ul style="list-style-type: none"> • Confidentiality Agreement • I-9 Form U.S. employees hired after November 7, 1986 or proper work registration for non-citizens <p><i>(See Employment Information Disclaimer.)</i></p>	<p>The Auditor will request evidence of the appropriate documentation in the employee files as follows:</p> <ul style="list-style-type: none"> • 7 or fewer Access and/or Non-Access Employees: Auditor will view employee files for all Access and Non-Access Employees. <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> • More than 7 Access and/or Non-Access Employees: Auditor will view employee files as a random sample, totaling 25% of the entire Access and Non-Access Employees List, with a minimum of 7 employees and a maximum of 15 employees.
1.2	Applicant Claims <hr/> NAID USE ONLY Verified <hr/>	<p><i>Access Employees</i> must have the below employment screening requirements:</p> <p>When searches are being conducted in places outside of the U.S. every effort should be made to have the searches done at a level comparable to the county and state searches done in the U.S.</p> <ul style="list-style-type: none"> • 7 Year Criminal Record Search: <ul style="list-style-type: none"> ○ Social Security Header Search listing all associated addresses of the employee. (Must be conducted prior to the criminal background investigation to ensure all counties, states, and federal district courts of residence and employment have been included and verified in the investigation) ○ County records search for all counties on Social Security Header Search ○ Statewide records search for all states on Social Security Header Search ○ Federal Records Search for all Federal Districts in all states on Social Security Header Search • Pre-hire or Initial Drug Screening • 7 Year Employment History Verification which must include the following for each place of employment: <ul style="list-style-type: none"> ○ Name, City and State of the previous employer ○ Dates of employment, as reported by the employee ○ Date of verification (or attempted verification if the previous employer cannot be reached) ○ Indication of if the previous employer was able to verify the dates employment. <p>The criminal record search must be conducted by a third-party. County and state checks must be pulled directly from the county and state repositories. Federal checks must be pulled from the federal district courts or via PACER. The use of a secondary database, often referred to as a SuperSearch, InstaSearch and/or National/Nationwide Search is not allowed.</p> <p>If federal, statewide and/or county searches are not available in a particular state, the applicant must complete the ones available and provide documentation to support the unavailability of the other.</p> <p>If a location has restrictive employee agreements in place that prevents drug screening and/or criminal record searches for certain employees, a letter must be submitted stating who and what employee screening restrictions are in place.</p>	<p>Auditor must inspect applicable documentation for all Non-Citizen Employees and Access Employees who are owners, partners or senior managers (of destruction division) of the Company.</p> <p>The following Access Employees are exempt from the Employment Verification, Drug Screening and I-9:</p> <ol style="list-style-type: none"> 1) officers, directors, owners and/or partners of the Company not engaged in the day-to-day operations; 2) others who have access to or can grant authorize access to the Confidential Customer Media to be destroyed at the applicant's location but are not engaged in the day-to-day destruction operations; and/or 3) independent contractors, subcontractors or employees. <p>Any Access Employees representing the Headquarters of the Company's information destruction division, minimally the President/Vice President of area &/or Audit Coordinator, whether at the location listed on this application or at another location, must have criminal background searches conducted.</p> <p>Auditor will review the results of the Social Security Header Search and criminal background checks of the selected employees. Criminal background checks must include a list and the results of the jurisdictions searched.</p> <p>No person subject to a felony conviction in the last 7 years for any crime involving theft (of tangible or intangible property), fraud, burglary or larceny, and no person currently incarcerated for any crime may be employed in a capacity where they may come in contact with Confidential Customer Media. This applies to all Access Employees.</p> <p>The employment screening is applicable to all Access Employees (other than those exempt from these requirements as mentioned above) regardless of length of service or pre-existing employment status, except where there is a restrictive employment agreement in place. Access Employees whose employment predates the implementation of NAID Certification, must state that they have been employed with the company for the past 7 years.</p>

	Initial	Criteria	Audit Methodology
1.3	<p>Applicant Claims _____</p> <hr/> <p>NAID USE ONLY Verified _____</p>	<p>Access Employees are monitored for drugs/substance abuse by one of the following methods (check one):</p> <p><input type="checkbox"/> Option #1: On a random basis, 50% of access employees are drug screened annually.</p> <p style="text-align: center;">OR</p> <p><input type="checkbox"/> Option #2: Management has been trained in a “Substance Abuse Recognition Awareness Program” pre-approved by NAID.</p>	<p>Auditor will verify evidence of the method indicated:</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;">OR</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	<p>Applicant Claims _____</p> <hr/> <p>NAID USE ONLY Verified _____</p>	<p>Ongoing criminal record searches on Access Employees by one of the following methods (check one):</p> <p><input type="checkbox"/> Option #1: One-third of Access Employees have been randomly selected and criminal record searches conducted annually.</p> <p><input type="checkbox"/> Option #2: One-third of all Access Employees are screened the first year, a different 1/3 are screened the following year, and the remaining 1/3 are screened in the third year.</p> <p><input type="checkbox"/> Option #3: All Access Employees have criminal record searches conducted every three years.</p> <p style="text-align: center;">Year of most recent search: _____</p>	<p>Auditor will review the results of the criminal record search of the employees based upon the method indicated.</p>
1.5	<p>Applicant Claims _____</p> <hr/> <p>NAID USE ONLY Verified _____</p>	<p>Drivers meet all licensing requirements of the governmental jurisdiction.</p>	<p>The applicable law or regulation for commercial driver licenses will be made available and examined by the Auditor. Auditor will request any items required by law for all drivers listed on the Access and Non-Access Employees List.</p>
OPERATIONAL SECURITY			
2.1a	<p>Applicant Claims _____</p> <hr/> <p>NAID USE ONLY Verified _____</p>	<p>The Company has a written policies and procedures for drivers and destruction processing employees.</p>	<p>Auditor to inspect a copy of policies and procedures manuals.</p>
2.1b	<p>Applicant Claims _____</p> <hr/> <p>NAID USE ONLY Verified _____</p>	<p>Prior to gaining access to confidential material, all drivers and destruction processing employees must sign an acknowledgement indicating that they have received, read and understand the Company’s current written policies and procedures. A new acknowledgment must be signed by employees on an annual basis.</p>	<p>Auditor to inspect employee files for a signed acknowledgement of the Company’s current written policies and procedures. This form must reference the version of the written policies and procedures that it applies to. A new acknowledgment must be signed by employees on an annual basis.</p>

	Initial	Criteria	Audit Methodology
2.1c	Applicant Claims _____ NAID USE ONLY Verified _____	The Company has a written policy in place, stating that the Company will notify any Customer of a potential release of, or unauthorized access to, that Customer's Confidential Customer Media that poses a threat to the security or confidentiality of that information within 60 days of the date of discovery of the data security breach incident.	Auditor will check procedures manual to ensure there is a written policy stating the Company will notify any Customer of a potential release of, or unauthorized access to, that Customer's Confidential Customer Media that poses a threat to the security or confidentiality of that information within 60 days of the date of discovery of the data security breach incident.
2.1d	Applicant Claims _____ NAID USE ONLY Verified _____	The Company has a written policy in place instructing and requiring employees to notify management of a potential release of, or unauthorized access to, Confidential Customer Media that poses a threat to the security or confidentiality of the information.	Auditor will check procedures manual to ensure that there is a written policy instructing and requiring employees to notify management of a potential release of, or unauthorized access to, Confidential Customer Media that poses a threat to the security or confidentiality of the information.
2.1e	Applicant Claims _____ NAID USE ONLY Verified _____	The Company has a written Incident Response Plan for responding to suspected or known security incidents. The Incident Response Plan must include a post-incident business impact analysis and a process for documenting all incidents and their outcomes.	Auditor will review the Company's written Incident Response Plan to ensure there is a policy addressing post-incident business impact analysis and documentation of all incidents and their outcomes.
2.1f	Applicant Claims _____ NAID USE ONLY Verified _____	The Company has a written policy that addresses the procedures for employees to follow during an unannounced audit. This policy must name at least one person or position of contact with physical access to the information the auditor may ask to review, which is to be contacted in the event of an unannounced audit at the destruction plant or the office. Should circumstances prevent the designated point of contact from being available at the time of the unannounced audit, the Certification Review Board may request additional information to be provided at a later date.	Auditor will review the Company's written policies and procedures for their written policy instructing employees in the procedures to follow during an unannounced audit.
2.1g	Applicant Claims _____ NAID USE ONLY Verified by _____	All Access Employees must be trained annually to comply with the NAID AAA Certification requirements: <input type="checkbox"/> Option #1: All Access Employees have taken and passed the NAID Access Employee Training Program (AETP). (Submit AETP Licensing Form with application.) <input type="checkbox"/> Option #2: All Access Employees have taken and passed a third-party training course which has been pre-approved by NAID. (Submit AETP approval form and outline of training with application.) <input type="checkbox"/> Option #3: All Access Employees have taken and passed an in-house training. If NAID has not already approved the training course for this purpose, an approval form and outline of the program is included with this application. (Submit AETP approval form and outline of training with application.)	Auditor will review evidence of annual training to ensure all Access Employees have passed a training program which complies with the NAID AAA Certification requirements.

	Initial	Criteria	Audit Methodology
2.2	Applicant Claims _____	Access Employees must display a Company-issued photo I.D. badge at all times while on duty. Badges must minimally include a photo, employee name and Company name.	Auditor will inspect the Company policies and procedures manual to ensure there is a written policy for Access Employees to display a Company-issued photo I.D. badge at all times while on duty. Auditor will also inspect employees present to verify that they are wearing photo I.D. badges.
	NAID USE ONLY Verified _____		
2.3	Applicant Claims _____	While at the Customer's location, drivers and other employees of contractor must wear a specific uniform (minimum of Company shirt) to improve recognition by Customers.	Auditor will inspect the Company policies and procedures manual to ensure there is a written policy for drivers and other employees of contractor must wear a specific uniform while at the Customer's location. Auditor will also inspect drivers present to verify they are wearing uniforms.
	NAID USE ONLY Verified _____		
2.4	Applicant Claims _____	At the time that media is transferred from the Customer's custody to the custody of the destruction Company's employees, the Customer must be provided with a receipt or certificate of destruction indicating type and quantity of media and an acknowledgement of the services rendered. An electronic receipt is acceptable, provided there is a verifiable electronic audit trail and the ability to provide the Customer with the printed information.	Auditor will inspect the Company policies and procedures manual to ensure that Customer documentation process contains the requisite information and will inspect a copy or sample of the Customer documentation. If applicable, Auditor must inspect a copy or sample of the Customer documentation when destruction or recycling services are NOT NAID Certified to verify such notification is stated. For Plant-based operations and Transfer Processing Stations only: 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.
	NAID USE ONLY Verified _____		
2.5	Applicant Claims _____	All media for destruction must always be attended by an access 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 media for destruction from the Customer's facility to the destruction provider's vehicle have operable locks. Auditor will inspect the Company policies and procedures manual to assure that custody of the media for destruction is addressed. For Plant-based operations and Transfer Processing Stations: Auditor will determine that there is a secured area designated for holding media when unattended until that media can be destroyed.
	NAID USE ONLY Verified _____		
2.6	Applicant Claims _____	All media is 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 in the field to verify 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.
	NAID USE ONLY Verified _____		

	Initial	Criteria	Audit Methodology
2.7	Applicant Claims _____	All vehicles used for transfer of media will have the applicable government inspection for roadworthiness on file.	Auditor will review paperwork from the most recent inspection of all the 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 that does not require an inspection of commercial vehicles, Auditor will require a copy of the government statement saying so. Three vehicle records will be checked.
	NAID USE ONLY Verified _____		
2.8	Applicant Claims _____	All vehicles used for transfer and/or destruction of media (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 Employee.	Auditor will inspect trucks 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. Note: If there are 3 trucks or less in either 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 either category, 75% of the vehicles in either 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.
	NAID USE ONLY Verified _____		
2.9	Applicant Claims _____	All drivers of vehicles must have readily accessible two-way communication device.	Auditor to verify each driver has an operable two-way communication device with them or in the vehicle.
	NAID USE ONLY Verified _____		
2.10	Applicant Claims _____	<i>APPLIES TO MOBILE CERTIFICATION ONLY</i> 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 Customer agreement stating otherwise. A Records Center is considered the Customer's site when all media for destruction comes from within it.
	<input type="checkbox"/> Not Applicable NAID USE ONLY Verified _____		
2.11	Applicant Claims _____	<i>APPLIES TO PLANT-BASED AND/OR TRANSFER PROCESSING STATION CERTIFICATION ONLY</i> Unauthorized access to Confidential Customer Media in the designated secure destruction area, storage area and/or staging area is effectively prevented.	Auditor to inspect all entrances to verify that unauthorized access to secured area is effectively prevented when media is not attended. Auditor will verify that the Company policies and procedures manual covers access control and unauthorized access interdiction measures.
	<input type="checkbox"/> Not Applicable NAID USE ONLY Verified _____		

	Initial	Criteria	Audit Methodology
2.12	<p>Applicant Claims</p> <p>_____</p> <p><input type="checkbox"/> Not Applicable</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</p>	<p><i>APPLIES TO PLANT-BASED AND/OR TRANSFER PROCESSING STATION CERTIFICATION ONLY</i></p> <p>All visitors entering the secure destruction building or Transfer Processing Station must 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 building. The log must be maintained for one year.</p>	<p>Auditor will examine visitor logs and verify the logs are maintained for one year.</p>
2.13	<p>Applicant Claims</p> <p>_____</p> <p><input type="checkbox"/> Not Applicable</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</p>	<p><i>APPLIES TO PLANT-BASED AND/OR TRANSFER PROCESSING STATION CERTIFICATION ONLY</i></p> <p>There is a secure area within the building devoted only to processing and/or destroying media. No baling of unshredded paper may take place in secure areas of the plant-based destruction facility except cardboard.</p> <p>In the event that the facility also stores records, recycles, bales intact/unshredded paper or conducts other activities, the collection and processing of media for destruction must be in a designated (or delineated) area or secured area.</p>	<p>Auditor to inspect building to determine that the secured area for destruction and/or media processing exists and that no baling of unshredded paper takes place in the plant-based destruction area.</p> <p>If a secured area within the building is required, it must meet the following specifications:</p> <ul style="list-style-type: none"> • There must be enough space within this area to stage all media to be destroyed. • The wall or fence securing this area must be a minimum of six feet tall and have a lockable gate or door. • 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, secure staging and processing areas (or similar, suitable device) to detect if and when individuals have climbed over or come through a section of the secured area fence/wall. <p>If the only operations taking place within the building are related to information destruction, and if ALL employees with access into the building are screened in accordance with Section 1.2 and are listed as access employees, a separate secure area is not required and the entire building is considered the secure area.</p>
2.14	<p>Applicant Claims</p> <p>_____</p> <p><input type="checkbox"/> Not Applicable</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</p>	<p><i>APPLIES TO PLANT-BASED AND/OR TRANSFER PROCESSING STATION CERTIFICATION ONLY</i></p> <p>There is a third-party monitored alarm system in place and utilized when the secure destruction building or Transfer Processing Station is unoccupied.</p>	<p>Auditor is to inspect alarm system to make sure it is operational and examine alarm test reports &/or invoices from alarm monitoring service.</p>
2.15	<p>Applicant Claims</p> <p>_____</p> <p><input type="checkbox"/> Not Applicable</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</p>	<p><i>APPLIES TO PLANT-BASED AND/OR TRANSFER PROCESSING STATION CERTIFICATION ONLY</i></p> <p>There is a closed circuit camera system monitoring all access points into the secure buildings/areas where confidential media is stored, processed and/or destroyed. All processing activities are monitored with sufficient clarity to identify people and their activities. There must be enough lighting during non-business hours to ensure that all images have sufficient clarity.</p> <p>NAID must be notified within 48 hours of the discovery of problems with the CCTV system which result in a loss of data.</p> <p>Recordings must be retained for 90 consecutive days in an organized, retrievable manner.</p> <p>Number of days of recordings (as of the date of application): _____</p>	<p>Auditor to inspect the closed circuit monitoring system to ensure that it meets criteria. This includes checking that the system has sufficient cameras and image quality to identify individuals and capture all activities in the secure destruction building from point of entry through final destruction, including any unauthorized access to the confidential information.</p> <p>Auditor will also inspect the policies and procedures manual to ensure there is a written policy for notifying NAID within 48 hours of the discovery of problems with the CCTV system which result in a loss of data.</p> <p>90 days of CCTV playback must be available at the time of the scheduled audit. Auditor to inspect recording library system and to review four 4-minute samples:</p> <ul style="list-style-type: none"> • Two random samples during operational hours • One random sample during non-operational hours • One sample from the 90th day back from the current date <p>Recording of operations may be suspended for playback recordings.</p>

	Initial	Criteria	Audit Methodology
2.16	Applicant Claims _____ <input type="checkbox"/> Not Applicable NAID USE ONLY Verified _____	<p>APPLIES TO PLANT-BASED CERTIFICATION WITH A COLLECTION FACILITY</p> <p>Collection Facilities are used to store media intermittently to be transferred to a plant-based destruction facility within 3 business days. Facility has restricted access with a monitored alarm system. The list of all Collection Facility locations associated with this plant-based operation is included with this Application.</p> <p>Number of Collection Facilities: _____</p> <p>ADDRESS: _____ _____</p>	<p>Auditor will check policy and procedures manual to assure that media for destruction is not processed and not stored for more than 3 business days and that the following are maintained:</p> <ul style="list-style-type: none"> • Access is restricted to Access Employees • Visitor's Log • I.D. badges are worn by employees and visitors • Monitored Alarm System • In the event that the facility also stores records, recycles or bales intact/unshredded paper, or conducts other activities, the collection of media for destruction must be in a designated (or delineated) area or secured area. (See Item 2.13) <p>Auditor may or may not check the actual facility for requirements at the time of an audit.</p>
2.17	Applicant Claims _____ <input type="checkbox"/> Not Applicable NAID USE ONLY Verified _____	<p>APPLIES TO PLANT-BASED AND/OR TRANSFER PROCESSING STATION CERTIFICATION ONLY</p> <p>The following Operational Security systems are checked and maintained on a monthly basis:</p> <ul style="list-style-type: none"> • Alarm System • Lighting • Door Locks • Visitor Logs <p>The CCTV system must be checked on a weekly basis, including a minimum of five minutes of playback to ensure that all cameras and recording systems are working correctly.</p> <p>Monthly and Weekly Logs must be kept for one year.</p>	<p>Auditor will exam the Monthly and Weekly Operational Security Maintenance Logs and verify they are maintained for one year.</p>

ENDORSEMENTS & THE DESTRUCTION PROCESS

3.1	Applicant Claims _____ <input type="checkbox"/> Not Applicable NAID USE ONLY Verified _____	<p>PAPER/PRINTED MEDIA ENDORSEMENT</p> <p>Paper/Printed Media is destroyed by commercial grade destruction equipment and meets the particle size as stated by the equipment's OEM specifications. Acceptable deviant tolerance: 1/16 inch</p> <p><input type="checkbox"/> Continuous Shred: Width (max): 5/8 inch & Length: Indefinite</p> <p><input type="checkbox"/> Cross Cut or Pierce & Tear: Width (max): 3/4 inch & Length (max): 2.5 inches</p> <p><input type="checkbox"/> Pulverizer, Disintegrator or Hammermill* Screen Size (max): 2-inch diameter holes</p> <p><input type="checkbox"/> Unspecified Equipment Please describe the type of equipment and cutting mechanism specifications (screen hole size*, blade width, etc.): _____</p> <p>Maximum allowable sizes listed create a particle deemed reasonable for regulatory compliance. Customers may specify a smaller particle size at their discretion, which should be codified contractually with the NAID Certified service provider.</p> <p>Mobile or Plant Equipment: _____ Manufacturer: _____ Model: _____ Serial #: _____ Capacity/Throughput (lbs/hr): _____ Horsepower: _____</p> <p><input type="checkbox"/> See attached form listing additional equipment info</p>	<p>The Auditor will verify that the particles produced by the equipment are reasonably consistent with the OEM specifications and that the equipment is of commercial grade.</p> <p>*Auditor will review the Screen Changing Logs during the audit, if applicable.</p> <p>PULPING OR INCINERATION (PLANT-BASED ONLY) In-House Pulping or Incineration must not require any Transfer of Custody:</p> <p>If the NAID Member owns or leases the pulping or incineration equipment and building, and does not transfer custody of media to a third party for transport or processing before media is pulped or incinerated, then the results of the pulping or incineration must effectively reduce the media to a size or condition that is</p>
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	Initial	Criteria	Audit Methodology
3.2	Applicant Claims _____ <input type="checkbox"/> Not Applicable <hr/> NAID USE ONLY Verified _____	<p><i>MICRO MEDIA ENDORSEMENT</i></p> <p>Micro Media (Microfiche or Microfilm only) is destroyed by commercial grade destruction equipment which produces a particle size of 1/8 inch maximum dimension or less.</p> <p>Mobile or Plant Equipment: _____</p> <p>Manufacturer: _____</p> <p>Model : _____</p>	<p>The Auditor will verify that the particle produced by the equipment is 1/8 inch maximum or less and that the equipment is of commercial grade.</p> <p>Acceptable deviant tolerance: 1/16 inch.</p>
3.3	Applicant Claims _____ <input type="checkbox"/> Not Applicable <hr/> NAID USE ONLY Verified _____	<p><i>PHYSICAL DESTRUCTION OF HARD DRIVES ENDORSEMENT</i></p> <p>Computer Hard Drives are physically destroyed (not wiping or overwriting) in accordance with the Company's standard method of destruction which includes:</p> <ul style="list-style-type: none"> • Prior to destruction the Company must provide the Customers with a written description of the process for destroying the hard drives. • Serial numbers of all hard drives or CPUs being destroyed for each Customer are recorded, unless the Customer has signed an opt-out agreement. • The log of recorded serial numbers is returned to the Customer upon the completion of the service, unless the Customer has opted out of this requirement. • Hard drives must be damaged to the point where the platters will not spin. <p>Method of Physical Destruction: _____</p>	<p>Auditor will review the Company's written policies and procedures for their standard physical destruction (not wiping or overwriting) of computer hard drives.</p> <p>Auditor will also review verification that the Customer has been notified of the process of destruction.</p> <p>Auditor will also review the serial number recordation log and any opt-out agreements Customers signed.</p>
3.4	Applicant Claims _____ <input type="checkbox"/> Not Applicable <hr/> NAID USE ONLY Verified _____	<p><i>NON-PAPER MEDIA ENDORSEMENT</i></p> <p>Non-Paper Media is destroyed in accordance with the Company's standard method of destruction. Any method that deviates from the standard method of destruction must be communicated to the Customer in writing.</p> <p>Types of Non-Paper Media physically destroyed:</p> <p><input type="checkbox"/> Optical Media: _____</p> <p><input type="checkbox"/> Magnetic Media: _____</p> <p><input type="checkbox"/> Flash Media: _____</p> <p><input type="checkbox"/> Other: _____</p> <p>Method of Destruction: _____</p>	<p>Auditor will review the Company's written policies and procedures for their standard physical destruction of Non-Paper Media.</p> <p>Auditor will also review written policies and copies of documentation provided to the Customer for methods of destruction that deviate from the standard method.</p>

	Initial	Criteria	Audit Methodology
3.5	<p>Applicant Claims _____</p> <p><input type="checkbox"/> Not Applicable</p> <hr/> <p>NAID USE ONLY Verified _____</p>	<p>PRODUCT DESTRUCTION ENDORSEMENT</p> <p>Product Destruction is destroyed in accordance with the Company's standard method of destruction which includes:</p> <ul style="list-style-type: none"> Product Destruction is provided in a manner consistent with the company's policies and procedures manual. The policies and procedures manual must state that customer receiving the product destruction endorsement will be provided a detailed account of the process used to destroy the specific product in advance of the project. Such product destruction agreements must be kept on file for 3 years from the date of the destruction. Employee Confidentiality Agreements must contain language wherein the employee agrees that products accepted for destruction are to be considered confidential and that removal or use by the employee is a violation punishable by dismissal and subject to possible legal prosecution. 	<p>Auditor will review the Company's written policies and procedures for their standard Product Destruction.</p> <p>Auditor will also review verification that the Customer has been notified of the process of destruction with a detailed account of the process used to destroy the product. The notification to the Customer must be kept on file for 3 years from the date of destruction.</p> <p>Auditor will review the employee confidentiality agreements to verify that language stating that the employee agrees that products accepted for destruction are to be considered as confidential and that removal or use by the employee is a violation punishable by dismissal and subject to possible legal prosecution.</p> <p>Has modified policies and procedures to specifically state that clients receiving product destruction services will be provided a detailed accounting of the process used to destroy the specific product in advance of the project, and that such product destruction agreements be kept on file for 3 years from the date of the destruction. (Audit methodology: Reviewed by auditor)</p>
3.6	<p>NAID USE ONLY Verified _____</p> <hr/> <p>NAID USE ONLY Verified _____</p>	<p>APPLIES TO PLANT-BASED AND/OR TRANSFER PROCESSING STATION CERTIFICATION ONLY</p> <p>The destruction of confidential media must take place within 3 business days from the arrival at the destruction facility.</p> <p>For purges, the destruction of confidential media must take place within 15 business days</p> <p>For Transfer Processing Stations, the confidential material must be transferred to a Plant-based Destruction Operation within 15 business days.</p> <p>If destruction does not occur in the stated timeframe, the Customer must be notified in writing.</p>	<p>Auditor will check the policy and procedures manual to assure that all media is destroyed within the stated timeframe. Exceptions include acts of God, breakdowns or Customer notification to retain media for a longer period.</p>
3.7	<p>Applicant Claims _____</p> <hr/> <p>NAID USE ONLY Verified _____</p>	<p>The destruction process has a method of quality control in place to ensure destroyed information is within the stated standards.</p>	<p>Auditor will check policy and procedures manual to assure that there is a quality control procedure in place for ensuring destroyed information is within stated standards.</p>

	Initial	Criteria	Audit Methodology
3.8	<p>Applicant Claims</p> <p>_____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</p>	<p>Destroyed paper/printed media and micro media must be disposed (sold, gifted, or discarded) in a responsible manner, which does not include any type of reuse.</p> <p>Destroyed remnants of hard drives and circuit boards must be disposed (sold, gifted, or discarded) in a responsible manner, which includes a requirement that the recipient of the destroyed electronic media is registered by the International Organization for Standardization (ISO) as being compliant with the 14001 standard.</p> <p>Applicant must attach a list of all current recipients of destroyed paper/printed media, micro media and hard drives, indicating the final disposition of materials by the recipients.</p> <p>Requests for a hardship exemption must be submitted in writing to the Certification Review Board.</p>	<p>Auditor will review list of recipients and manner in which paper/printed media, micro media and computer hard drives are disposed.</p> <p>Auditor will verify that the Company has written agreements in place to support stated responsible disposal.</p> <p>Auditor to check waste receptacles and area directly outside of the information destruction building/area to see that no paper/printed media, micro media and computer hard drives whether destroyed or intact has been deposited in waste receptacles.</p>
3.9	<p>Applicant Claims</p> <p>_____</p> <p><input type="checkbox"/> Not Applicable</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</p>	<p>TRANSFER OF CUSTODY</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: _____</p> <p>If media destruction is subcontracted, all Customers must be notified in writing of the following information:</p> <ul style="list-style-type: none"> o name of the subcontractor company o the method of the destruction <p>All Access Employees of the companies in the chain of custody must acknowledge in writing that they understand that all media with which they come in contact is confidential, and they accept fiduciary responsibility.</p> <p>All Access Employees of the companies must submit to the same background screening requirements as NAID Certification.</p> <p>All companies accepting custody of media must meet the NAID Certification criteria. If Company does not meet the NAID Certification criteria then the Customer must be notified in writing that such service is not NAID Certified.</p>	<p>Auditor will check documentation to verify that the customer was notified if transfer of custody occurs. If a site visit is required for verification, the Applicant assumes responsibility for any additional fees of the Auditor.</p>
3.10	<p>Applicant Claims</p> <p>_____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</p>	<p>At the time of a bid or proposal, the Company must notify the potential customer in writing of the following:</p> <ul style="list-style-type: none"> • If the information destruction service being proposed to the Customer is not NAID Certified at the time of the bid; and/or • If the service involves a subcontractor for either a portion of the destruction process or for the actual destruction of the media. • If the services involve a subcontractor notification must also indicate if the subcontractor is not NAID Certified. 	<p>The auditor will review the Company's policies and procedures to ensure that there is a written policy stating that all bids or proposals will notify potential customers if the proposed destruction service is not NAID Certified and/or if subcontractors will be used for all or part of the destruction service.</p>

Company Name: _____

COMPANY ASSURANCES			
4.1	Applicant Claims _____	Company is a legally registered business in the state of residence.	Auditor to examine business license, Certificate of Incorporation or SEC filing.
	NAID USE ONLY Verified _____		
4.2	Applicant Claims _____	General liability insurance (aggregate or umbrella) of \$2,000,000 or more.	Auditor to examine valid insurance documents, which could be an ACORD Certificate, a certificate of insurance or a letter from broker verifying coverage limits. Letter must be dated no earlier than one month prior to audit and be for the amount of \$2,000,000 or more.
	NAID USE ONLY Verified _____		

Please submit application via:
FAX: (480)658-2088
EMAIL: certification@naidonline.org
QUESTIONS: (602)788-6243

NAID[®] CERTIFICATION PROGRAM

ADDITIONAL REQUIRED MATERIALS FOR APPLICATION

Company Name: _____

City, State/Province: _____

Access Individuals and Non Access Individuals List

Owners/Partners/Officers of the Company	Title	Involved in Daily Operations Y/N	NAID Auditor use only					
			Conf Agr	Criminal	Drug	Driver Req	File Checked	

Employee Name	Date of Hire	Access Y/N	Title/Position	Citizen Y/N	NAID Auditor use only												
					All Employees		Access Employees Only										File Checked
					Conf Agr	I-9	Drug	SS Trace	Crim State	Crim Cnty	Crim Fed	Empl Ver	2.1b	2.1g	Driver Req		
1.																	
2.																	
3.																	
4.																	
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11.																	
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14.																	
15.																	
16.																	

ADDITIONAL REQUIRED MATERIALS FOR APPLICATION

-continued-

Company Name: _____

City, State/Province: _____

List of Destruction and Collection Vehicles

Destruction/ Collection	Vehicle Identification Number (VIN #)	Vehicle Make & Model	License Plate Number	State/Province of License	Overnight Storage Address (Addr, City, State)	Available for Audit? Y/N*	NAID Auditor use only			
							Reg. & Ins.	Road- worthy	Locks	Truck Checked
1.										
2.										
3.										
4.										
5.										
6.										
7.										
8.										
9.										
10.										

*See Section 2.8 for the requirements for fleet availability during NAID Certification Audits

List of Additional Destruction Equipment (Item 3.1)

Equipment Type (Continuous Shred, Cross Cut, Pierce & Tear, Pulverizer, Disintegrator, Hammermill, Unspecified Equipment* or Pulping/Incineration [plant-based only])	Mobile or Plant- based	Manufacturer	Model	Serial #	Capacity (lbs/hr)	HP
2.						
3.						
4.						

*For Unspecified Equipment please attach detailed description with OEM specs, including dimensions/specification of cutting mechanism (screen hole size, blade width, etc.). Attach additional sheets if necessary.

List of Recipients of Destroyed Materials

Name of Recipient	Final Disposition of Materials (pulping, incineration, smelting, etc.)
1.	
2.	
3.	

NAID[®] Custodial Membership/Certification Addendum

(For companies applying for NAID AAA Certification of destruction services, which also take intermediary or temporary custody of confidential material prior to destruction)

COMPANY INFORMATION

Company Name: _____
Audit Contact: _____ City/State: _____
Email: _____ Phone: _____

COMPANY PROFILE:

Type of Custodial Operations (Check all that apply.):

- | | |
|--|--|
| <input type="checkbox"/> Records Storage | <input type="checkbox"/> Data Recovery/Forensic Breach Investigation |
| <input type="checkbox"/> Document Scanning/Imaging | <input type="checkbox"/> Online Backup |
| <input type="checkbox"/> Aggregator/Transportation | <input type="checkbox"/> Backup Tape Rotation |
| <input type="checkbox"/> Other (describe): _____ | |

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

1. The custodial services indicated are provided from the same corporation or legal entity and under the same name and from the same or immediately adjacent facilities.

2. Discarded information resulting from providing the indicated services are destroyed by our NAID certified destruction service when destruction is required.

3. The background screening of all employees engaged in providing the indicated custodial services is equal to or exceeds NAID certification requirements prior to unsupervised access to client information.

4. Access control measures related to providing the indicated custodial services meets or exceeds NAID Certification Plant-based Operation requirements.

5. Custodial services are provided under documented with written security policies and procedures.

6. Employees engaged in providing indicated custodial services have acknowledged the fiduciary nature of their obligation to protect client information from unauthorized access and to report to management any situation that could or has allowed unauthorized access (see NAID Confidentiality Agreement).

7. During future scheduled and unannounced NAID Certification audits, the NAID auditor will be allowed to verify any of the stipulations herein.

8. NAID will be immediately informed (5 business days) of any change in the above stipulations or any in the nature or type of the custodial services offered.

Upon receipt of this agreement, NAID would then add the indicated services to the member's certification profile, resulting in said services being reflected/searchable on the new NAID membership directory.

Signed: _____ Date: _____
Print Name: _____ Title: _____

NAID Use Only		
Audit #:	Received:	Complete:
DBU:	Cert Expires:	Processed by:



NAID Access Employee Training Program Order Form and Licensing Agreement

Please Note : The NAID Access Employee Training Program is only available to NAID Members

Company Name: _____ **Individual:** _____

Street Address: _____

City: _____ **State:** _____ **Postal Code:** _____ **Country:** _____

Phone: _____ **Fax:** _____ **Email:** _____

Will the NAID Access Employee Training Program be utilized at multiple locations? No Yes

If yes, please provide the city and state of the other locations that will be utilizing this program (must be the same company):

1. **Company:** _____ **City:** _____ **State/Prov.:** _____ **Country:** _____
2. **Company:** _____ **City:** _____ **State/Prov.:** _____ **Country:** _____
3. **Company:** _____ **City:** _____ **State/Prov.:** _____ **Country:** _____

NAID Access Employee Training Program

\$79.95

This one-time fee grants the NAID Member company (Licensee) rights to use the NAID Access Employee Training Program (Program), including training video, test, test key, and forms to document successful completion of training by Access Employees to fulfil the requirements for access employee training according to Section 2.1g of the NAID Certification Application. Upon processing of payment, a web link to download the training materials will be sent to the email address provided above.

By initialing the following statements it is agreed and understood the following stipulations are a legally binding condition of NAID Access Employee Training Program and Video (Program) use:

_____ The NAID Access Employee Training Program and Video (Program) continues to be the intellectual property of NAID in perpetuity, incorporating all rights and privileges afforded such ownership.

_____ The Member licensing the use of the Program may not reproduce or copy it, in whole or part, in any manner, including written transcripts or excerpts. Licensees are permitted to electronically copy the Program to a computer hard drive with the understanding that the Licensee has the capability and legal responsibility to prevent unauthorized access at all times.

_____ The Member may not post the video, in whole or part, to a publicly accessible website or intranet.

_____ The Member may not allow access to, or allow use by, any other company, entity, agency or individual.

_____ The Member understands the violation of any provisions herein, or a violation of NAID's copyright, and or any effort to circumvent, mitigate, eliminate or prevent NAID's ability to control the distribution of the Video or images from the Video, as determined by NAID, may mean revocation of license, sanctions by NAID including loss of membership or certification, and civil or criminal remedies as NAID may determine appropriate.

_____ Only Members with a copy of this license agreement, which will be stored at NAID Headquarters, may use the Program to fulfil the requirements for Access Employee training according to Section 2.1g of the NAID Certification application.

_____ NAID Certification allows for the use of third party or in-house resources for Access Employee training, subject to NAID approval, and the use of the Program to fulfil the NAID Certification requirement for access employee training according to Section 2.1g of the NAID Certification application is the sole discretion of the Member.

_____ Updated versions of the Program are not necessarily included in this licensing agreement fee and may need to be licensed separately as they become available.

Signed: _____ **Date:** _____

Print Name: _____ **Title:** _____

NAID Use Only			
Member#:	Received:	Shipped:	Completed by:



NAID Access Employee Training Program Payment Form

Company Name: _____ Individual: _____

Street Address (required): _____

City: _____ State: _____ Postal Code: _____

TOTAL REMITTANCE:

USD \$ _____

Payment is by:

Enclosed Check (Payable to "NAID") Check No.: _____

AmEx Discover MasterCard Visa # _____ - _____ - _____ - _____

Expires
(mo/yr): _____ / _____ **CVV code:** _____

Name on Card: _____ Signature: _____

**NAID[®] CERTIFICATION PROGRAM
ACCESS EMPLOYEE TRAINING PROGRAM
APPROVAL SUBMISSION FORM**

Please complete this form and submit to NAID for approval of your Access Employee Training Program (AETP). Upon approval of your program a confirmation email will be sent. Please remember that all access employees must go through the program annually.

Company: _____ Contact Name: _____

Contact Email: _____

Physical Address: _____

City: _____ State/Prov: _____ Postal Code: _____

Total # Access Employees Trained: _____ (all access employees must be trained, per Section 2.1g of the NAID AAA Certification Application)

Is the application for multiple locations? No Yes (If yes, please provide the Company name, city and state of the other location(s) that will be utilizing this program.)

1. Company: _____ City: _____ State/Prov: _____ Country: _____

2. Company: _____ City: _____ State/Prov: _____ Country: _____

3. Company: _____ City: _____ State/Prov: _____ Country: _____

Agency administering the program: _____

Contact person at Agency: _____

Title of Program: _____

Date the program was last conducted (or is to be conducted): _____

I am providing the following program information:

Type of or sample of dated documentation indicating the successful completion of the program:

- Certificate Graded test
 Signed attendance roster Other, explain _____

AND

- Outline of Program & Handouts/materials used during training

Company
Signature: _____ Date: _____

Print Name: _____ Title: _____

NAID Use Only

Signed: _____ Date: _____

Print Name: _____ Title: _____

Please submit the form via:
FAX: (480)658-2088
EMAIL: certification@naidonline.org
QUESTIONS: (602)788-6243

**NAID[®] CERTIFICATION PROGRAM
SUBSTANCE ABUSE RECOGNITION TRAINING PROGRAM
APPROVAL SUBMISSION FORM**

Please complete this form and submit to NAID for approval of your Substance Abuse Program Training (SARP). Upon approval of your program a confirmation email will be sent. Please remember that manager(s) and/or supervisors must go through the program annually.

Company: _____ Contact Name: _____

Contact Email: _____

Physical Address: _____

City: _____ State/Prov: _____ Postal Code: _____

Total # Supervisors Trained at above Operation: _____ Total # Destruction Employees at above Operation: _____

Is the application for multiple locations? No Yes (If yes, please provide the Company name, city and state of the other locations that will be utilizing this program.)

1. Company: _____ City: _____ State/Prov: _____ Country: _____

2. Company: _____ City: _____ State/Prov: _____ Country: _____

3. Company: _____ City: _____ State/Prov: _____ Country: _____

Agency administering the program: _____

Contact person at Agency: _____

Agency phone number: _____ Email address : _____

Title of Program: _____

Date the program was last conducted (or is to be conducted): _____

I am providing the following program information:

- Certificate Graded test
 Signed attendance roster Other, explain _____

AND

- Outline of Program & Handouts/materials used during training OR Proof of DOT approved program

Company
Signature: _____ Date: _____

Print Name: _____ Title: _____

NAID Use Only

Signed: _____ Date: _____

Print Name: _____ Title: _____

Please submit the form via:
FAX: (480)658-2088
EMAIL: certification@naidonline.org
QUESTIONS: (602)788-6243

AGREEMENT FOR RESPONSIBLE DISPOSAL OF DESTROYED MATERIALS

(between a Secure Destruction Service and Disposal Agent)

The following Secure Destruction Service is NAID[®] Certified or seeking NAID[®] Certification and is in possession of destroyed materials as identified below that it must responsibly dispose:

SECURE DESTRUCTION SERVICE firm: _____

Address: _____

Destroyed Materials consisting of: _____

The following Disposal Agent accepts the Destroyed Materials and will responsibly dispose of these materials in the method identified below:

DISPOSAL AGENT firm: _____

Address: _____

Final Disposition Method of Materials Received: _____

If destroyed computer hard drives are being disposed, the above Disposal Agent must be registered by the International Organization for Standardization (ISO) as being compliant with the 14001 standard.

By signature below, the Disposal Agent agrees to the following in accepting the Destroyed Materials from the Secure Destruction Service:

- Disposal Agent agrees to process and route the Destroyed Material by a mutually acceptable method and to a mutually agreed destination that fulfills the obligation to keep them from entering the public realm in a manner in which they could be reconstituted (such as in packing materials or animal bedding) or that is violation of any environmental regulations.
- The Disposal Agent agrees that the final disposition method identified above will be adhered to unless notice and permission have been obtained from the Secure Destruction Service firm in writing in advance.
- The Disposal Agent understands that the decision to use their firm to accept the Destroyed Material and process it under the agreed manner is required by the NAID Certification standards.
- The Disposal Agent understands that the decision by the Secure Destruction Service to transfer the Destroyed Materials to the Disposal Agent is made only in consideration of their ability and willingness to comply with this agreement.
- The Disposal Agent agrees to process and dispose of the Destroyed Materials as agreed herein
- The Secure Destruction Service also agrees that this is not an agreement that transfers any obligation or intention on the part of the Disposal Agent to provide secure destruction services.

Disposal Agent

Representative's Signature: _____ Date: _____

Representative's Printed Name: _____

Representative's Title: _____

NAID® AAA 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.

EMPLOYEE REQUIREMENTS

- All employee must have **Confidentiality Agreements** and an I-9 form **(Item 1.1)**
- All Access Employee must have an Employment History Verification, Criminal Record Search and Drug Screening Results **(Item 1.2)**
- Ongoing annual Access Employee Drug/Substance Screenings: **(Item 1.3)**
 - Option 1 - Drug/Substance Screening on annual random basis must include a file containing documentation supporting the 50% annual random Access Employee drug testing should be available.
- OR
- Option 2 – **Substance Abuse Recognition Program Form** must be on file containing proof of completed yearly management training.
- Ongoing Access Employee Criminal Record Searches. **(Item 1.4)**
- Drivers must have a copy of a valid driver license and/or commercial driver license and any additional items required by governmental jurisdiction for drivers. **(Item 1.5)**

OPERATIONAL SECURITY

- Policies and Procedures manual** must include: **(Item 2.1a)**
 - Policy for notifying customers of a potential release of, or unauthorized access to confidential material **(Item 2.1c)**
 - Policy for notifying management of a potential release of, or unauthorized access to confidential material **(Item 2.1d)**
 - Incident Response Plan** for responding to suspected or known security incidents **(Item 2.1e)**
 - Unannounced Audit** procedure and process **(Item 2.1f)**
 - All Access employees must wear a photo I.D. badge while on duty **(Item 2.2)**
 - A Company Uniform must be worn by employees **(Item 2.3)**
 - 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) **(Item 2.4)**
 - Containers used to transport confidential materials have operable locks **(Item 2.8)**
 - The Company must perform mobile destruction services at the Customer's site. (Mobile Operation Only) **(Item 2.10)**
 - Access controls and unauthorized access to the secure destruction area (Plant-based Operations Only) **(Item 2.11)**
 - Method of physical computer hard drive destruction (if applicable) **(Item 3.3)**
 - Method of non-paper media destruction for each type of non-paper media destroyed (if applicable) **(Item 3.4)**
 - Destruction timeframe of media **(Item 3.5)**
 - Quality control procedures **(Item 3.6)**
 - If the information destruction service being proposed to the Customer is not NAID Certified or if the service will involve subcontractors, the customer must be notified in writing at the time of the bid. **(Item 3.9)**
- All drivers and destruction processing employee files must contain an annual **Acknowledgement** of the company's written policies and procedures. **(Item 2.1b)**
- All access employees have been trained to comply with NAID AAA Certification requirements (AETP) **(Item 2.1g)**
- Customers are provided with a receipt at the time of Media pickup, which includes the following: **(Item 2.4)**
 - Type of Media (Paper, Micro Media or Computer Hard Drives)
 - Quantity of Media
 - Acknowledgement of the services rendered
- Customers are notified in writing when provided with 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. **(Item 2.4)**
- Material must be protected from loss due to wind, tipping/spillage or other atmospheric conditions **(Item 2.6)**
- Most recent inspections of all commercial vehicles. **(Item 2.7)**
- The required number of vehicles to be inspected will be available on the day of audit. (Requirements are: If three or less mobile and/or collection vehicles, all must be available. If four or more mobile and/or collection vehicles, 75% must be available.) **(Item 2.8)**
- Readily accessible, operable two-way communication devices for all drivers. **(Item 2.9)**

IF APPLYING FOR PLANT-BASED OPERATION:

- All visitors must sign visitor log, be issued a visitors badge and be escorted by an Access Employee at all times. **Visitor logs** must be retained for one year. **(Item 2.12)**
- A secured area designated is available for holding confidential materials when unattended until destroyed. **(Item 2.13)**

AUDIT PREPARATION CHECKLIST

- 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 solely to destruction operations, then a secured area within building must meet the following requirements: **(Item 2.13)**
 - 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 when secure destruction building is unoccupied. **(Item 2.14)**
- Closed circuit camera system (CCTV) monitoring all access points into secure destruction building/area. **(Item 2.15)**
 - The CCTV must provide sufficient clarity to identify individuals and their activities. There must be enough lighting at night or during other non-business hours to ensure that all images have sufficient clarity.
 - 90 days of CCTV recordings must be available from date of audit.
 - Alarm, Lighting, Door Locks and Visitor Logs are checked on a monthly basis and the CCTV system is checked on a weekly basis and documented via the Operational Security Maintenance Logs. Logs must be retained for one year. **(Item 2.18)**

ENDORSEMENTS & THE DESTRUCTION PROCESS

- PAPER OR PRINTED MEDIA DESTRUCTION ENDORSEMENT: (Item 3.1)

Paper/Printed Media destruction particle sizes:

 - 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: (max): 2 inch diameter holes via screens Screen Changing Logs
- MICRO MEDIA DESTRUCTION ENDORSEMENT: (Item 3.2)
 - Micro Media destruction particle size must be 1/8 inch max or less.
- PHYSICAL HARD DRIVE DESTRUCTION ENDORSEMENT: (Item 3.3)

Must have the following information:

 - Recorded serial numbers of all hard drives or CPUs destroyed for each customer
 - Log of customers that have opted out of serial number recordation (if applicable)
 - Signed Opt-Out Agreements (if applicable)
 - Copies of written standards/agreements for computer hard drive destruction for these customers
- NON-PAPER MEDIA DESTRUCTION ENDORSEMENT: (Item 3.4)
 - A Standard method of destruction must be used. If any methods used deviate from the standard, the customer must be notified in writing describing the destruction process.
- PRODUCT DESTRUCTION ENDORSEMENT: (Item 3.5)

Must have the following information:

 - Consistent with the company's policies and procedures manual
 - Customer notification of a detailed account of the destruction process and must be retained on file for 3 years from the date of the destruction.
 - Employee Confidentiality Agreements must contain language stating that the employee agrees that products accepted for destruction are confidential and that removal or use by the employee is a violation punishable by dismissal and subject to possible legal prosecution.
- Signed Agreement for Responsible Disposal of Materials (or customized document with similar wording) between you and the recipient indicating the type of media being destroyed and the final disposition of the media. **(Item 3.7)**
- Transfer of custody documentation including subcontractor list, subcontractor agreements, client agreements and proof of meeting certification requirements. (if applicable) **(Item 3.8)**

COMPANY ASSURANCES

- Business license **(Item 4.1)**
- Proof of General Liability Insurance (aggregate or umbrella) of \$2,000,000.00 or more. **(Item 4.2)**

: Indicates sample forms available online at www.naidonline.org.