

NAID[®] AAA Certification Application

Australian Version (includes Protective Security Policy Framework Endorsements)

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 Destruction or Collection Vehicles stored at a location other than address above?

No Yes (list address): _____

Type of Audit:

Initial (Is a NAID-approved consultant being used? No Yes – If “Yes” please identify consultant below.)
 Consulting Firm (if applicable): _____ (Must be pre-approved by NAID)

Recertification

Operation(s) & Endorsement(s):

PLANT-BASED

MOBILE

PAPER OR PRINTED MEDIA

PAPER OR PRINTED MEDIA

MICRO MEDIA (Microfiche or Microfilm only)

MICRO MEDIA (Microfiche or Microfilm only)

PHYSICAL HARD DRIVES

PHYSICAL HARD DRIVES

NON-PAPER MEDIA

NON-PAPER MEDIA

PRODUCT DESTRUCTION

PRODUCT DESTRUCTION

PSPF ENDORSEMENT - Paper/Printed Media same day destruction (section 5)

PSPF ENDORSEMENT - High Security destruction (section 6)

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

None Recycling (of unshredded paper or metal) Records Storage Imaging/Scanning
 Other (please indicate): _____

TRANSFER PROCESSING STATION(S)

Associated Plant(s) (City, State): (1) _____, (2) _____ (If more provide separately)

Does the applicant offer any NAID Certifiable services for which it is NOT seeking NAID Certification?

No Yes: If “Yes” please specify: _____

Custodial Service:

If applicant accepts temporary custody of confidential material prior to destruction, the entire process is eligible for NAID Certification. (To add this certification, please indicate those that apply and fill out the NAID Custodial Membership/Certification Addendum.)

- Records Storage Data Recovery/Forensic Breach Investigation
- Document Scanning/Imaging Online Backup Other:
- Aggregator/Transportation Backup Tape Rotation _____

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



National Association for Information Destruction, Inc.

3030 N. Third Street, Suite 940, Phoenix, AZ 85012

Phone: (602) 788-6243 Facsimile: (480) 658-2088

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. Applicants should consult legal counsel to determine whether applicant's 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
4. 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.
5. Any failure to make accessible for inspection all documentation, facilities, and equipment on the date, time and location identified on the
6. *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.
7. 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
8. Company decides to withdraw their application.
9. At no time will the label "NAID Certification" or "NAID Certified" be applied, referenced or inferred to facilities or operations of the
10. 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.
11. The Company must reapply for NAID Certification on an annual basis, prior to the expiration of the current NAID Certification. If the
12. 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
13. Certification will not affect NAID membership.
14. 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.

15. 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.
16. 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
17. 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.
18. 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.
19. 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.
20. The Company understands that the specifications and fees for NAID Certification are subject to change at the discretion of the NAID Board of Directors.
21. 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).
22. 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.
23. 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.
24. 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.
25. 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.
26. 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.
27. 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
28. 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.
29. 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.**
30. 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.

31. 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.
32. 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.
33. 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.
34. 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.**
35. 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.
36. 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.
37. 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.
38. 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	<p><i>All Access Employees and Non-Access Employees</i> must sign a Confidentiality Agreement prior to gaining access to Confidential Customer Media and employees must be legally Registered to work at the Company:</p> <p>Confidentiality Agreement Evidence of citizenship or approved work authorization for non-citizens</p> <p><i>(See Employment Information Disclaimer.)</i></p>	<p>Based on the list of Access and Non-Access Employees submitted with the Application, Auditor will request evidence of the appropriate documentation in the individual files of this operation location as follows:</p> <p>Where applicant Company has 7 or fewer Access and/or Non-Access Employees, Auditor will request verification of applicable documentation for all Access and Non-Access Employees.</p> <p>OR</p> <p>If the applicant Company has more than 7 Access and/or Non-Access Employees, Auditor will request verification of applicable documentation for a random sample , totaling 25% of the entire Access and Non-Access Employees List, with a minimum of 7 individuals and a maximum of 15 individuals to be selected.</p>
1.2	Applicant Claims <hr/> NAID USE ONLY Verified	<p>AUSTRALIAN APPLICANTS: Every effort should be made to have the searches performed at a level comparable to the county and state searches modeled below.</p> <p>PSPF ENDORSEMENT: In addition to screening consistent and comparable to that described below, applicants seeking the PSPF Endorsements must meet the personnel screening requirements in Section 5 including specifically 5.10 and 5.11.</p> <p>Access Employees are subject to the employment screening restriction requirements of NAID Certification, including criminal background check, initial employment drug-screening and previous employment verification.</p> <p>Screening must include:</p> <p>7 Year Criminal Record Search*: Social Security Header Search <i>(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.)</i> Federal Records Search for all Federal Districts in all states on Social Security Header Search Statewide records search for all states on Social Security Header Search County records search for all counties on Social Security Header Search</p> <p>Pre-hire or Initial Drug Screening 7 Year Employment History Verification must minimally include the following for each place of prior employment: Name, City and State of the previous employer Dates of employment, as reported by the employee Date of verification <i>(or attempted verification if the previous employer cannot be reached)</i> Indication of if the previous employer was able to verify the dates employment.</p> <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 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 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>If Auditor finds any missing documentation in representative sampling, s/he may request applicable documentation for additional Access and/or Non-Access Employees.</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 Evidence of Citizenship:</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, can grant or 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 thereof. <p>Any Access Individuals 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>No person subject to a felony conviction in the last seven years for any crime involving theft (of tangible or intangible property), fraud, burglary or larceny, 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 or relationship predates the implementation of NAID Certification policies, must be retroactively screened, and, if necessary, restricted from access to Confidential Customer Media.</p>

	Initial	Criteria	Audit Methodology
1.3	<p>Applicant Claims</p> <p>_____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</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>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>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> <p>_____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</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>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> <p>_____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</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> <p>_____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</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> <p>_____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</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 _____	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.
	NAID USE ONLY Verified _____		
2.1d	Applicant Claims _____	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.
	NAID USE ONLY Verified _____		
2.1e	Applicant Claims _____	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.
	NAID USE ONLY Verified _____		
2.1f	Applicant Claims _____	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.
	NAID USE ONLY Verified _____		
2.1g	Applicant Claims _____	<p>All Access Employees must be trained annually to comply with the NAID AAA Certification requirements:</p> <p><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.)</p> <p><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.)</p> <p><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.)</p>	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.
	NAID USE ONLY Verified by _____		

	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>APPLIES TO PLANT-BASED AND/OR TRANSFER PROCESSING STATION CERTIFICATION ONLY</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>APPLIES TO PLANT-BASED AND/OR TRANSFER PROCESSING STATION CERTIFICATION ONLY</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> <p>There must be enough space within this area to stage all media to be destroyed.</p> <p>The wall or fence securing this area must be a minimum of six feet tall and have a lockable gate or door.</p> <p>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> <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>APPLIES TO PLANT-BASED AND/OR TRANSFER PROCESSING STATION CERTIFICATION ONLY</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>APPLIES TO PLANT-BASED AND/OR TRANSFER PROCESSING STATION CERTIFICATION ONLY</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 <p>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> <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>

THE DESTRUCTION PROCESS & ENDORSEMENTS

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 renders reasonable unreadable and reasonably prevents its reconstruction.</p>
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	Initial	Criteria	Audit Methodology
3.2	Applicant Claims _____ <input type="checkbox"/> Not Applicable NAID USE ONLY Verified _____	<p>MICRO MEDIA ENDORSEMENT</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 NAID USE ONLY Verified _____	<p>PHYSICAL DESTRUCTION OF HARD DRIVES ENDORSEMENT</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. <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 NAID USE ONLY Verified _____	<p>NON-PAPER MEDIA ENDORSEMENT</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> <p>NAID USE ONLY</p> <p>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>Applicant Claims _____</p> <p><input type="checkbox"/> Not Applicable _____</p> <p>NAID USE ONLY</p> <p>Verified _____</p>	<p>APPLIES TO PLANT-BASED 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>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> <p>NAID USE ONLY</p> <p>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> <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> <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> <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>

	Initial	Criteria	Audit Methodology
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 _____		
AUSTRALIAN PSPF ENDORSEMENT (Paper/Printed Media Same Day Destruction endorsement) Please fill out and submit in order to obtain the Protective Security Policy Framework (PSPF) endorsements for same day destruction of official information. To obtain the Paper/Printed Media same day destruction endorsement a company must also obtain the Plant Based Paper or Printed Media endorsement.			
5.0	Applicant Claims _____	PAPER/PRINTED MEDIA SAME DAY DESTRUCTION ENDORSEMENT In addition to NAID AAA certification baseline requirements) – Plant Based - Paper/Printed Media	
	NAID USE ONLY Verified _____		
5.1	Applicant Claims _____	CONTRACTS If the Company subcontracts the collection, transportation and destruction of media, the subcontractor must have NAID AAA Certification with Paper/Printed Media Same Day Endorsement	Auditor will verify that the Company Policy and Procedures Manual indicates that subcontracting of collection and destruction is restricted to contractors with the NAID AAA Certification with Paper/Printed Media Same Day Endorsement
	NAID USE ONLY Verified _____		
5.2	Applicant Claims _____	COLLECTION AND TRANSPORTATION The Company permits agencies to escort and witness the transportation and destruction of the media.	Auditor will verify that the Company Policy and Procedures Manual indicates that the Company permits the agencies to escort and witness the transportation and destruction of the media.
	NAID USE ONLY Verified _____		
5.3	Applicant Claims _____	COLLECTION AND TRANSPORTATION The contents of secure document bins or waste bags must not be emptied into the rear of the truck and are not to be transferred or tipped into other bins at the agency's premises or in the rear of the truck.	Auditor will verify that the Company's Policy and Procedures Manual indicates that secure document bins or waste bags must not be emptied into the rear of the truck and are not to be transferred or tipped into other bins at the agency's premises or in the rear of the truck.
	NAID USE ONLY Verified _____		

	Initial	Criteria	Audit Methodology
5.4	<p>Applicant Claims</p> <p>_____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</p>	<p>COLLECTION AND TRANSPORTATION</p> <p>The Company must collect agency media on dedicated trips to reduce the risk of information being compromised at other collection points and decrease the timeframe between collection and destruction.</p>	<p>Auditor will verify that the Company's Policy and Procedures Manual indicates that the collection of media is collected on dedicated trips.</p>
5.5	<p>Applicant Claims</p> <p>_____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</p>	<p>COLLECTION AND TRANSPORTATION</p> <p>The Company must account for media (contained in document bins at three separate locations:</p> <ul style="list-style-type: none"> • Loading; • Unloading; and • Fed into destruction equipment 	<p>Auditor will verify that the Company's Policy and Procedures Manual indicates that media is accounted for in three separate locations. Auditor will sight records to confirm accounting is taking place.</p>
5.6	<p>Applicant Claims</p> <p>_____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</p>	<p>VEHICLE SECURITY</p> <p>Vehicles must be secured to prevent unauthorized access to media including:</p> <ul style="list-style-type: none"> • Driver compartments should be secured while in transit using factory locking • Driver compartments must be secured when loading and unloading media using factory locking • Storage compartments containing media must be secured when the vehicle is unattended • Vehicles should not be left unattended for more than 15 minutes while containing media • The locking mechanism for storage compartment wing doors or roller doors must be secured with a SCEC-approved SL3 rated padlock or a padlock which meets the requirements of Australian Standards (4145 4 2002 Locksets Part 4 Padlocks lock with a minimum rating of SP6, which is fitted with a SCEC-approved keying system) 	<p>Auditor to inspect the vehicles to ensure the locking elements complies. Auditor will verify that the Company's Policy and Procedures Manual indicates how vehicles must be secured.</p>
5.7	<p>Applicant Claims</p> <p>_____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</p>	<p>FACILITY SECURITY</p> <p>The Company must have an enclosed area at the facility to unload media.</p>	<p>Auditor is to inspect the facility to determine that there is an enclosed area to unload media.</p>
5.8	<p>Applicant Claims</p> <p>_____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified</p> <p>_____</p>	<p>FACILITY SECURITY</p> <p>Media must not be stored overnight at the facility. All media must be destroyed before the close of business (or returned to the agency).</p>	<p>Auditor will verify that the Company's Policy and Procedures Manual indicates that media is not stored overnight. That media is destroyed as soon as possible after unloading at the facility and is destroyed before close of business (or returned to the agency).</p>

	Initial	Criteria	Audit Methodology
5.9	<p>Applicant Claims _____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified _____</p>	<p>DESTRUCTION</p> <p>The Company must allow agencies to inspect conveyor belts, feed chutes and cutting chambers after the destruction process is completed to ensure all media has been destroyed to the particle size requirements for the media.</p>	<p>Auditor will verify that the Company's Policy and Procedures Manual indicates that the agency is permitted to inspect conveyor belts, feed chutes and cutting chambers to ensure all media is destroyed.</p>
5.10	<p>Applicant Claims _____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified _____</p>	<p>PERSONNEL SECURITY</p> <p>Australian National Police Checks must be conducted by a National Police Checking Service organisation accredited with the Australian Criminal Intelligence Commission (ACIC) or Australian Police agencies.</p>	<p>Auditor to verify through company documentation that National Police Checks have been conducted as per section 1.4.</p>
5.11	<p>Applicant Claims _____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified _____</p>	<p>PERSONNEL SECURITY</p> <p>The Company must check the identity of access employees to Level 2 of the National Identity Proofing Guidelines upon engagement.</p>	<p>Auditor to verify through Company documentation that access employee identity is checked to Level 2 of the National Identity Proofing Guidelines.</p>
5.12	<p>Applicant Claims _____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified _____</p>	<p>PERSONNEL SECURITY</p> <p>Company ID should display an issue date and expiration date.</p>	<p>Auditor to sight a Company ID to confirm it displays an issue date and expiry date.</p>
5.13	<p>Applicant Claims _____</p> <hr/> <p>NAID USE ONLY</p> <p>Verified _____</p>	<p>PERSONNEL SECURITY</p> <p>The Company must conduct a visa check on access employees who are not citizens or permanent residents to ensure they hold a current work visa for the duration of their employment with the Company. This can be done through the Department of Immigration and Border Protection free of charge through the visa entitlement verification online.</p>	<p>Auditor to verify the Company records to confirm that employees who are not citizens or permanent residents hold a current work visa.</p>

	Initial	Criteria	Audit Methodology
5.14	Applicant Claims _____ <hr/> NAID USE ONLY Verified _____	<p>REPORTING</p> <p>The Company must immediately notify the agency upon discovery of a potential release of, or unauthorized access to, that customers media that poses a threat to the security or confidentiality of that information.</p>	Auditor will check procedures manual to ensure there is a written policy stating the Company will notify any agency of a potential release of, or unauthorized access to, that agency's media that poses a threat to the security or confidentiality of that information immediately after the discovery of the incident.

AUSTRALIAN PSPF ENDORSEMENT (High Security destruction)
 Please fill out and submit in order to obtain Protective Security Policy Framework (PSPF) endorsement for high security destruction of official information.
 To obtain the High Security endorsement a company must also obtain the PSPF endorsement – Paper/Printed media same day destruction.

6.0	Applicant Claims _____ <hr/> NAID USE ONLY Verified _____	<p>HIGH SECURITY ENDORSEMENT</p> <p>In addition to NAID AAA certification baseline requirements and section 5 above) - Paper/Printed Media and PSPF Paper/Printed Media Same Day Endorsement</p>	
6.1	Applicant Claims _____ <hr/> NAID USE ONLY Verified _____	<p>CONTRACTS</p> <p>If the Company subcontracts the collection, transportation and destruction of media, the sub-contractor must have NAID AAA Certification with the High Security endorsement.</p>	Auditor will verify that the Company's Policy and Procedure Manual indicates that subcontracting of collection and destruction is restricted to contractors with NAID AAA Certification with the High Security endorsement
6.2	Applicant Claims _____ <hr/> NAID USE ONLY Verified _____	<p>FACILITY SECURITY</p> <p>The Company must have a discrete area within the facility where approved equipment is used to destroy media.</p> <ul style="list-style-type: none"> A discrete area with its perimeter forming part of the existing building fabric or chain link fence at least two meters high with a gate or door that can be locked from the unsecure side (that requires a key to enter) and enables egress from the secure side (for example, a turn snib) 	Auditor to inspect facility to verify that a discrete area housing approved equipment exists.
6.3	Applicant Claims _____ <hr/> NAID USE ONLY Verified _____	<p>DESTRUCTION</p> <p>The Company must have approved equipment to destroy media:</p> <ul style="list-style-type: none"> Equipment listed in the Security Equipment Catalogue and purchased prior to March 2015; Equipment purchased after March 2015 and assessed by an independent test house such as a National Association of Testing Authorities (NATA) test house against the T4 destructor test criteria; Equipment listed in the United States National Security Agency's (NSA) evaluated products listings (EPL). <p>Approved equipment must have required screen sizes as detailed below</p>	Auditor to sight records confirming equipment was purchased prior to March 2015 and is listed as approved equipment or sights an independent test house test report stating that the equipment has been evaluated against relevant T4 destructor test criteria or review the NSA EPL to confirm the equipment is listed

6.4	Applicant Claims _____	DESTRUCTION The Company must have approved destruction equipment assessed by an independent test house such as a NATA test house against the T4 destructor test criteria every five years from March 2015 or the date of purchase (if purchased after March 2015).	Auditor to sight an independent test house test report stating that the equipment has been evaluated against and passed against the T4 destructor test criteria.
	NAID USE ONLY Verified _____		

	Initial	Criteria	Audit Methodology
6.5	Applicant Claims _____	DESTRUCTION The Company must have 3 mm and 9 mm screen sizes available to fit to approved equipment. A 6 mm screen is optional. The company must permit agencies to physically confirm the correct size is installed prior to destruction.	The auditor will confirm using calipers that the agency has 3 mm and 9 mm screen sizes available. Auditor will verify that the Company's Policy and Procedures Manual indicates that agencies are permitted to physically confirm that the correct screen size is installed.
	NAID USE ONLY Verified _____		
6.6	Applicant Claims _____	DESTRUCTION The Company must maintain approved equipment to ensure that media is consistently destroyed to the smallest particle size the Company is endorsed. The Company shall permit the Auditor to collect a sample of each type of media to take away for testing if required.	<p>Prior to the audit visit, the auditor will request the Company to ensure that the approved equipment (cutting chamber and waste receptacle has been cleared of waste from previous production runs).</p> <p>The auditor will inspect the approved equipment to ensure the smallest screen size the company is endorsed to use (or seeking endorsement) is fitted.</p> <p>The auditor will request the Company to destroy each type of media the equipment has been approved to destroy (for example, paper/printed media/hard drives/optical/magnetic tape/flash media).</p> <p>The auditor will be permitted to collect a sample of each type of media to take away for testing if required.</p> <p>The auditor will process each type of media separately in a laboratory test sieve with an aperture size no greater than the smallest screen size (plus 5 % tolerance) the Company is endorsed (or is seeking) to use. For example if the Company is endorsed to 3 mm, the aperture size in the sieve is 3.15 mm.</p> <p>The auditor will use the test sieve to verify that the resultant particles are consistent with the smallest screen size the company is endorsed to use.</p>
	NAID USE ONLY Verified _____		

Company Name: _____

6.7	Applicant Claims _____	<i>DESTRUCTION</i> The Company permits agencies to visually confirm that the correct screen size is installed to the equipment for the media being destroyed.	Auditor will verify that the Company's Policy and Procedures Manual indicates that the agency is permitted to visually confirm that the correct screen size has been fitted to the equipment.
	NAID USE ONLY Verified _____		

Please submit application via:
FAX: +1 (480)658-2088
EMAIL: certification@naidonline.org

Complete assistance is available from NAID personnel.
In addition, though restrictions may apply, a Consulting Subsidy is available.
Enquiries welcome!
HELP LINE: +1 (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.																	
5.																	
6.																	
7.																	
8.																	
9.																	
10.																	
11.																	
12.																	
13.																	
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.	