

# NAID™ Certification Application

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

**Profile Information**

Year Destruction Business Est: \_\_\_\_\_ Employees at this Location: \_\_\_\_\_  
 General Liability (Aggregate or Umbrella) Indemnification Level: \$ \_\_\_\_\_ million  
 No. Of Trucks in Fleet: Mobile Destruction/Shredding: \_\_\_\_\_ Collection Only: \_\_\_\_\_  
 Normal Hours of Operation: \_\_\_\_\_  
 Typically, the First Truck of the Day is Dispatched at (Indicate time): \_\_\_\_\_

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

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

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

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

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

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

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

**None**  
 **Recycling (of unshredded paper)**  **Records Storage**  **Other (please indicate):** \_\_\_\_\_

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

- PAPER OR PRINTED MEDIA**
- MICRO MEDIA**
- Conventional COMPUTER HARD DRIVES**

**Application Fee (per site):** \$750 for Mobile or Plant-based Operation  
 \$850 for BOTH Mobile & Plant-based Operations

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

Enclosed Check (Payable to “NAID”) Check No.: \_\_\_\_\_  
 Mastercard  Visa  AmEx Card# \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ Expires (mo/yr): \_\_\_\_/\_\_\_\_/\_\_\_\_  
 Name on Card: \_\_\_\_\_ Signature: \_\_\_\_\_

NAID Use Only			
New or Recert:		Auditor:	
Audit #: _____ - _____	Received: ____/____/____	DBS Updates: ____/____/____	Packet Sent: ____/____/____
Audit Appt.: ____/____/____	Auditor Rec: ____/____/____	CRB Approval: ____/____/____	Expires: ____/____/____

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

**Additional Required Materials:**

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

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

- Our company is an active member of NAID in good standing, and with no outstanding debt to the association and under no official censure.
- Certification is optional and is not required for NAID membership.
- The application criteria are fair and objective and the owners of this company are in complete agreement with them.
- I have read and understand the NAID Certification Audit Methodology, which make clear what documentation, facilities and equipment I will be required to have available and immediately accessible to the auditor.
- Any failure to make accessible for inspection all documentation, facilities, and equipment on the date, time and location identified on Confidentiality Agreement (Appointment) Form will result in failure to be certified, forfeiture of the application fee, and 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 will be considered a failure of the audit.
- All application fees are non-refundable, except in the instance where the Auditor fails to conduct the audit on the date, time and location indicated on the Confirmation of Appointment Form; and when, in such circumstance, the applicant decides to withdraw their application.
- The audit and any Certification achieved as a result are applicable to the operation location listed on the application. I may not apply any certification achieved through this audit to any other operations or locations owned by the company.
- I understand that our firm must reapply for certification on an annual basis. If we choose not to reapply and/or not to submit to the required audit, we will lose our certification. Loss of certification will not affect our NAID membership.
- I will hold NAID harmless from any claim of damage or loss as a result of our firm’s failure to achieve certification.
- I have 14 business days (as determined by the postmark) to submit to the certification committee in writing any protest or the results of the audit. I understand that the dispute should clearly state the perceived reason of the failure to achieve certification and why the finding is incorrect. I understand that the Certification Committee will rule on the dispute within one month from receiving it. I will accept the ruling of the Certification Committee as final and I will seek no further remedy, legal or otherwise, except to reapply for certification at my discretion.
- I agree that the location for which I am seeking NAID Certification is certified for Micro Media destruction **only if** we: 1) indicated that the location possessed equipment which meets the required specification, and 2) the equipment was inspected by the auditor at the time of the NAID Certification audit.
- I agree that the location for which I am seeking NAID Certification is certified for Computer Hard Drive destruction **only if** we: 1) have an established and published standard destruction method for physically destroying computer hard drives; 2) all customers have agreed to or have been notified in writing to these standard procedures or other specific procedures; and 3) these standard procedures have demonstrated to the NAID Auditor during the NAID Certification audit of this location.

NAID™ Certification Application & Audit Methodology – January 2006

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

- I understand and agree that **if** we become Certified for our Mobile Operations, then we must always destroy while on or near the customer's premises. **If** we leave the site, we are no longer following the Mobile Certification standards and may be subject to review and investigation by the Certification Review Board.
- I understand and agree that the specifications for certification are subject to change at the discretion of the NAID Board of Directors.
- I understand that the fee for NAID Certification may change from year to year at the discretion of the NAID Board of Directors.
- I have read the Certification Audit Instructions. I understand that my company must have all the materials and records required by assigned auditor and/or its agents conveniently available at the time and place when the certification audit is scheduled.
- All of our employees are legally registered to work in our country and we have all necessary documentation to confirm this.
- I understand that random Unannounced Audits are part of the Certification Program. Only if asked and not a hardship, I will allow access to a NAID Certification Auditor for purposes of conducting such Unannounced Audits.
- We will not prosecute the NAID Certification Auditor for trespassing or any crime resulting from testing access control of our vehicles, containers, &/or plant/building.
- At any time during the application, audit process or after Certified, I acknowledge that NAID, it's agents &/or the Certification Auditor may investigate or require additional information or documentation from our company in order to verify information on this application or the Certification criteria.
- I understand that the NAID Auditor does NOT approve our Certification at time of the audit. The Auditor's findings will be submitted to the NAID Certification Review Board for final approval or determination of remedial or corrective actions necessary to approve a Certification.
- This application is truthful and accurately represents the daily operating procedures of the company. I understand that if any of our company representatives willfully deceive NAID or a Certification Auditor, my company could be immediately removed from NAID &/or our Certification revoked.
- If at any time during our audit process or Certification our Certification Application information or procedures change, we must notify NAID in writing within 60 days of this status change; such as a change in ownership or any information on page 1 of this application.
- If we become Certified, the company is responsible for completing the proper Certification Application prior to the expiration date.
- I am an owner, corporate officer or official representative of the company submitting this application. I have full authority to request this audit, with full knowledge of our operation to accurately complete the application, and the authority to execute this agreement.

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

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

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

	Initial	Criteria	Audit Methodology
<b>EMPLOYEE REQUIREMENTS</b>			
1.1	Applicant Claims _____ Auditor Verifies _____	<p><b>All employees</b> must sign a Confidentiality Agreement and must be legally Registered to work at company.</p>	<p>Based on the <b>Employee/Access Individual List</b> submitted with the application, auditor will look to see evidence of the appropriate documentation in the employee/individual files of this operation location as follows:</p> <p style="padding-left: 40px;">For 7 or fewer employees at the operation location, auditor will review all employee files.</p> <p style="text-align: center;">OR</p> <p style="padding-left: 40px;">For more than 7 employees, auditor will select and review 25% of the entire employee and Access individuals list, with a minimum of 7 files and a maximum of 15 files.</p> <p>When randomly selecting files, the Auditor should attempt to choose employees from each category of Access Individual/Employee, i.e. driver, processor/sorter, driver helper, etc. Auditor to identify which employee files were checked so that different files can be checked during future scheduled audits.</p>
1.2	Applicant Claims _____ Auditor Verifies _____	<p><b>Access Individuals</b> are subject to the employment screening restriction requirements of NAID Certification, including employment verification and criminal background check.</p> <p><i>Access individuals are those employees or individuals who have access to confidential materials (See Definitions page for more detailed description and examples).</i></p>	<p>If Auditor finds any missing documentation in representative sampling, he may inspect any or all other employee files. Regardless of random sampling, Auditor must inspect files for all Non-Citizens and all Access owners and/or partners of company.</p> <p><b>Employee’s File should contain the following evidentiary documentation:</b></p> <ol style="list-style-type: none"> <li>1. Confidentiality Agreement</li> <li>2. <b>I-9</b> or proper work permit/registration</li> <li>3. Employment history verification documentation **</li> <li>4. Record of criminal background check including findings**</li> <li>5. Drug Screening results**</li> </ol> <p>** Items 2 - 5 apply only to <i>Access Individuals (see Definitions page)</i></p> <p><i>Access Individuals</i> have access to, can provide access to or can grant/authorize others or themselves to have access to the confidential materials to be destroyed. Employees that do not have access to confidential materials are excluded from the employment and drug screening requirements (<i>see Definitions page</i>).</p>
1.3	Applicant Claims _____ Auditor Verifies _____	<p><b>Access Employees</b> are drug-screened prior to or at the time of hire. <i>If there is a local law relating to this requirement that supercedes it, that law must be provided to the auditor.</i></p>	<p><b>Employment Screening for Access Individuals will consist of:</b></p> <ol style="list-style-type: none"> <li>1. <b>Employment History Verification</b></li> <li>2. <b>Criminal Record Search</b></li> </ol> <p><b>Employment History Verification</b> – A verification of all employment within the past 7 years may be conducted by whatever means best suit the NAID Certified company (i.e., in-house or third-party).</p> <p>A <b>Criminal Record Search</b> on a county-by-county and statewide basis for each county and state of residence and employment during the previous 7 years must be obtained through a third-party background search service. A <i>social security header search</i> must be conducted prior to the criminal background investigation to ensure all states and counties of residence and employment have been included in the investigation. Both statewide and county-by-county must be conducted for all records searches conducted after July 1, 2005. If both statewide and county searches are not available in a particular state, the applicant may do the one available and provide documentation to support the unavailability of the other. For investigations conducted prior to July 1, 2005, either statewide or county-by-county searches were acceptable. The criminal record search must be current, which is deemed to be conducted within the last seven years from current date.</p> <p>No person subject to a felony conviction in the last seven years for any crime involving theft (of tangible or intangible property), fraud, burglary or larceny may be employed in a capacity where they may come in contact with confidential client information. This applies to all <b>Access Employees and Individuals</b>.</p> <p>The <b>employment screening and drug screening</b> is applicable to all Access Employees regardless of length of service or pre-existing employment status. Access Individuals whose employment or relationship predates the implementation of NAID Certification policies, must be retroactively screened, and, if necessary, restricted from access to confidential materials.</p>

	Initial	Criteria	Audit Methodology
1.4	Applicant Claims _____ Auditor Verifies _____	<b>Access Employees</b> are monitored for drugs/substance abuse by one of the following methods (applicant to check the option used):  <input type="checkbox"/> Option #1: On a random basis, 50% of employees are drug-screened annually. <b>OR</b> <input type="checkbox"/> Option #2: The local management has been trained in a qualified (pre-approved by NAID) “Substance Abuse Recognition Awareness Program.”	Auditor will look to see evidence of the method indicated on application:  Option #1: Invoices/results from drug testing lab for random sampling drug screening of 50% of employees <b>OR</b> 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.
1.5	Applicant Claims _____ Auditor Verifies _____	One-third of <b>Access Employees</b> have been randomly selected and criminal record searches conducted annually.	Auditor to see documentation from an outside agency or source which verifies that one-third of the Access Employees have had criminal record searches annually.
1.6	Applicant Claims _____ Auditor Verifies _____	Drivers meet all licensing requirements of the governmental jurisdiction.	The applicable law or regulation for commercial driver licenses will be made available and examined by the auditor. Auditor will examine the employee file of each driver where there shall be a copy of the employee’s driver license, drug screening, and any additional items required per law (such as medical examinations). Name’s of drivers to be determined by employee roster provided with application.
<b>OPERATIONAL SECURITY</b>			
2.1	Applicant Claims _____ Auditor Verifies _____	The firm has written policies and procedures for drivers and destruction processing employees.	Auditor to inspect copy of policies and procedures manuals
2.2	Applicant Claims _____ Auditor Verifies _____	<b>Access Employees</b> display picture ID badges at all times on duty.	Auditor to inspect employees present to see that all are wearing a photo I.D. badges.
2.3	Applicant Claims _____ Auditor Verifies _____	While at customer’s location, drivers and other employees of contractor must wear a specific uniform (minimum of company shirt) to improve recognition by customers.	Auditor to inspect uniform of at least one driver and confirm that wearing a uniform is specified in policies and procedure manual(s).
2.4	Applicant Claims _____ Auditor Verifies _____	Materials are always attended by a company employee or physically secured from unauthorized access while in the custody of the destruction contractor before they are destroyed.	The auditor will verify that containers used in the field to transport confidential materials from the client’s facility to the destruction provider’s vehicle have operable locks and are locked when unattended. Auditor will inspect the company policies and procedures manual to assure that custody of the materials for destruction is addressed.  For Plant-based operations, Auditor will determine that there is a secured area designated for holding records when unattended until those records can be destroyed.
2.5	Applicant Claims _____ Auditor Verifies _____	All materials are securely contained during transfer from customers’ custody to transportation vehicle to prevent loss from wind or other atmospheric conditions.	Auditor to inspect collection equipment used by the contractor in the field to make sure it protects the records from loss due to wind 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.

	Initial	Criteria	Audit Methodology
2.6	Applicant Claims _____ Auditor Verifies _____	All vehicles used for transfer of client records will have the applicable government inspection for roadworthiness on file.	Auditor will review paperwork from the most recent inspection of all company's commercial vehicles within the time frame stated in the applicable state law regarding the nature and frequency of these inspections. If there is a jurisdiction, which does not require an inspection of commercial vehicles, auditor will require copy of government statement saying so. Three vehicle records will be checked.
2.7	Applicant Claims _____ Auditor Verifies _____	All vehicles used for transfer of client records will have lockable cabs and lockable fully enclosed boxes.  _____ Number of <b>Mobile Destruction/Shredding</b> trucks in fleet  _____ Number of <b>Collection Only</b> trucks in fleet	Auditor will inspect trucks made available by the company to verify that all cab doors and truck boxes are lockable and that locks work properly.  <b>Note:</b> If there are 3 trucks or less in either separate category (Mobile Shredding and Collection Only), all trucks in each category must be made available for inspection. If there are 4 or more trucks in each category, 75% of the fleet in each category must be made available for inspection. If trucks are not made available, the company must provide written testimony that those trucks not presented for inspection are of equal or superior condition of roadworthiness and security. The testimony must be on company letterhead and signed by an officer of the company.
2.8	Applicant Claims _____ Auditor Verifies _____	All drivers of collection or destruction vehicles must have readily accessible two-way communication devices.  <b>Type of Device Used:</b> <input type="checkbox"/> Radio/CB <input type="checkbox"/> Cell Phone <input type="checkbox"/> Other (please indicate): _____	Auditor to verify each driver has the stated and operable two-way communication device with them or in the vehicle.
2.9	Applicant Claims _____ <input type="checkbox"/> <b>Not Claimed</b> _____ Auditor Verifies _____	<i><b>APPLIES TO PLANT-BASED CERTIFICATION ONLY</b></i>  Unauthorized access to the designated secure destruction area and client records is effectively prevented.	Auditor to inspect all entrances to see that unauthorized access to secured area is effectively preventable when materials are not attended.  Auditor will verify that the company policies and procedures manual covers access control and unauthorized access interdiction measures.
2.10	Applicant Claims _____ <input type="checkbox"/> <b>Not Claimed</b> _____ Auditor Verifies _____	<i><b>APPLIES TO PLANT-BASED CERTIFICATION ONLY</b></i>  All visitors entering the secure destruction building sign a log with their name, time in, affiliation, and time out. Visitors must be issued a Visitor Badge and be escorted or under the supervision of an Access Employee at all times while in the plant. This log info/record must be maintained for one year.	Auditor will examine visitor/contractor logs and verify records maintained for one year.
2.11	Applicant Claims _____ <input type="checkbox"/> <b>Not Claimed</b> _____ Auditor Verifies _____	<i><b>APPLIES TO PLANT-BASED CERTIFICATION ONLY</b></i>  There is a secure area within the building devoted only to destroying media. No baling of unshredded paper may take place in this area except cardboard.	Auditor to inspect building to determine that secured area for information destruction exists and that no baling of unshredded paper is processed there.  If a secured area within the building is required, it must meet the following specifications: <ol style="list-style-type: none"> <li>1. There must be enough space within this area to stage all materials to be destroyed.</li> <li>2. The wall or fence securing this area must be a minimum of six feet tall and have a lockable gate or door.</li> <li>3. If the wall or fence does not go all the way to the ceiling, then it must have a ceiling mounted sensor alarm inside and over the perimeter of the secure destruction area (or similar, suitable device) to detect if and when individuals have climbed over or come through a section of the secured area fence/wall.</li> </ol>

	Initial	Criteria	Audit Methodology
2.12	Applicant Claims _____ <input type="checkbox"/> Not Claimed _____ Auditor Verifies _____	<p><b>APPLIES TO PLANT-BASED CERTIFICATION ONLY</b></p> <p>There is a <u>monitored</u> alarm system in place and utilized when the secure destruction building is unoccupied.</p> <p>Monitoring Company:                      _____</p> <p>Individual Contacted at the Certified Company when alarms are set off/activated:                      _____</p>	Auditor is to inspect alarm system to make sure it is operational and examine alarm test reports &/or invoices from alarm monitoring service.
2.13	Applicant Claims _____ <input type="checkbox"/> Not Claimed _____ Auditor Verifies _____	<p><b>APPLIES TO PLANT-BASED CERTIFICATION ONLY</b></p> <p>There is a closed circuit camera system monitoring all access points into the secure destruction building/area and all processing activity with sufficient clarity to identify people and their activities.</p> <p>Recordings must be retained for 90 days in an organized, retrievable manner.</p>	Auditor to inspect the closed circuit monitoring system to meet criteria. This includes checking that the system has sufficient cameras and image quality to identify individuals and capture the full range of motion and all activities in the secure destruction process from point of entry into the building through final destruction, including any unauthorized access to the confidential information. <p>CCTV playback must be available at the time of the scheduled audit.</p> <p>Auditor to inspect recording library system and to review four 4-minute samples:</p> <ul style="list-style-type: none"> <li>• Two random samples during operational hours</li> <li>• One random sample during non-operational hours</li> <li>• One sample from the 90<sup>th</sup> day back from the current date</li> </ul> <p>Recording of operations may be suspended for playback recordings.</p>
2.14	Applicant Claims _____ Auditor Verifies _____	<p><b>APPLIES TO PLANT-BASED CERTIFICATION ONLY</b></p> <p>Operational Security systems are checked and maintained on a monthly basis and records must be kept for one year using the NAID-issued Form (or the information/content contained on it).</p>	Auditor to review the monthly Operational Security Maintenance Logs used to check, record and maintain the facility's operational security functions, including CCTV, Alarms, Lighting and Visitor Logs – records must be kept for one year.
<b>ENDORSEMENTS &amp; THE DESTRUCTION PROCESS</b>			
3.1	Applicant Claims _____ <input type="checkbox"/> Not Claimed _____ Auditor Verifies _____	<p><b>MEDIA ENDORSEMENT</b></p> <p><b>PAPER or PRINTED MEDIA</b> is destroyed by equipment with the following OEM specifications or produces particle sizes no larger than those listed below (applicant to check and complete details for all equipment used):</p> <p><input type="checkbox"/> <b>Continuous Shred:</b>                      Width (max): 5/8 inch &amp; Length: Indefinite</p> <p><input type="checkbox"/> <b>Cross Cut or Pierce &amp; Tear:</b>                      Width (max): 3/4 inch &amp; Length (max): 2.5 inches</p> <p><input type="checkbox"/> <b>Pulverized (Equipment w/ Screens)*</b>                      Screen Size (max): 2-inch diameter holes</p> <p>Mobile or Plant Equip: _____</p> <p>Manufacturer: _____</p> <p>Model: _____</p> <p>Serial #: _____</p> <p><input type="checkbox"/> <b>Continuous</b>   <input type="checkbox"/> <b>Cross Cut</b>   <input type="checkbox"/> <b>Pulverized</b></p> <p>Mobile or Plant Equip: _____</p> <p>Manufacturer: _____</p> <p>Model: _____</p> <p>Serial #: _____</p> <p>Please attach sheet listing additional equipment if necessary.</p>	Certified operations must always utilize equipment that meet the Certification specifications. <p><b>CONTINUOUS SHRED, CROSS-CUT/PIERCE &amp; TEAR, &amp;/OR PULVERIZATION:</b></p> <p>Auditor to verify the equipment in use to destroy paper media meets the specifications by:</p> <p style="padding-left: 40px;">Using the OEM specs listed on an invoice or spec sheet that matches the serial number on the equipment.</p> <p style="text-align: center;"><b>OR</b></p> <p style="padding-left: 40px;">Measuring the width of the cutters and/or screens</p> <p>Acceptable deviant tolerance: 1/16 inch</p> <p>Auditor to check that particles processed by the machine meet the requirements.</p> <p>*For destruction equipment with adjustable screens, the Certified location must have a NAID-issued Screen Changing Log (or the information/content contained on it) noting the starting point of the log and the pertinent information regarding any screen changes. A log must be kept on or near each machine, which includes mobile destruction logs being carried in the truck. Records must be maintained for one year. Auditor will review the log(s) during the audit.</p>

		<input type="checkbox"/> <b>Pulping or Incineration</b> (Plant-based only) Mobile or Plant Equip: _____ Manufacturer: _____ Model: _____ Serial #: _____	<b>PULPING OR INCINERATION (PLANT-BASED ONLY)</b> In-House Pulping or Incineration must not require any Transfer of Custody:  If the NAID Member seeking NAID Certification owns or leases the pulping or incineration equipment and building, and also does not transfer custody of materials to a third party for transport or processing before materials are pulped or incinerated, then the results of the pulping or incineration must effectively reduce the materials to a size or condition that is unreadable and not reconstructible.
	<b>Initial</b>	<b>Criteria</b>	<b>Audit Methodology</b>
3.2	Applicant Claims _____  <input type="checkbox"/> <b>Not Claimed</b> _____  Auditor Verifies _____	<b>MEDIA ENDORSEMENT</b>  <b>MICRO MEDIA DESTRUCTION</b> The ability to destroy Micro Media is certified based on equipment or process which produces a particle size of 1/8 inch maximum dimension or less.  Manufacturer: _____ Model : _____	Auditor will determine the applicant has equipment with an OEM cutter mechanism of 1/8 inch at its maximum cut dimension by 1) using the OEM specs listed on an invoice or specification sheet that matches the serial number on the equipment or 2) measuring the width of the cutters and/or screens (acceptable deviant tolerance: 1/16 inch)
3.3	Applicant Claims _____  <input type="checkbox"/> <b>Not Claimed</b> _____  Auditor Verifies _____	<b>MEDIA ENDORSEMENT</b>  <b>CONVENTIONAL COMPUTER HARD DRIVE DESTRUCTION</b> The company has a written and verifiable process for the <b>physical</b> destruction (not wiping or overwriting) of conventional computer hard drives.	Auditor will review the company's written policies and procedures for their standard <b>physical</b> destruction (not wiping or overwriting) of computer hard drives. As part of their methodology, company must record the serial numbers of all hard drives or CPUs being destroyed for each client. Company must have provided clients with printed materials on their standard destruction procedures or have specific, written agreements with clients' specifying another method of destruction for their computer hard drives. During audit, company must show these written standards and any client agreements for alternative methods used and demonstrate their ability to conduct their standard, described method of computer hard drive destruction.
3.4	Applicant Claims _____  <input type="checkbox"/> <b>Not Claimed</b> _____  Auditor Verifies _____	<b>APPLIES TO PLANT-BASED CERTIFICATION ONLY</b>  Standard operating procedures states that the destruction of confidential materials must take place within 3 business days, or the policies and procedures, the terms and conditions, and contracts used by the applicant must specify and reflect the actual time frame in which destruction is performed.  Standard operating procedures state that destruction occurs within (indicate timeframe) _____.	Auditor will check procedures manual to assure that there is a procedure stated that all media are destroyed within requisite timeframe and verify the timeframe indicated by the applicant. Exceptions include acts of God, breakdowns or client instruction (or permission) to retain media for a longer period
3.5	Applicant Claims _____  Auditor Verifies _____	Destroyed materials must be disposed (sold, gifted, or discarded) in a responsible manner, which does NOT include any type of REUSE (for purposes such as animal bedding or packing materials).  Applicant must attach a list of all current recipients (within past year) of destroyed materials, indicating type of media and final disposition of materials by these recipients.	Auditor will review list of recipients and manner in which materials are disposed subsequent to destruction and verify that company has written agreements in place to support stated responsible disposal, i.e. pulping, incineration, smelting, etc.  Auditor to check waste receptacles and area directly outside of the information destruction building/area to see that no unshredded, confidential information has been deposited in waste receptacles or that no loose information-bearing materials are scattered around or near the destruction building.

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

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