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Destruction Vendor Due Diligence

- I. **VENDOR SELECTION**
 - a. Vendor selection criteria from the National Association for Information Destruction (NAID) certification program:
 - b. A NAID AAA certified secure destruction facility must meet these audit criteria. If the vendor is not certified a vendor due diligence visit should include:
 1. Vendor employee screening criteria:
 - a. Employment history verification
 - b. Criminal record search (at least 7 years)
 - c. Drug screening with annual random screens
 - d. Signed confidentiality agreements
 - e. I-9s
 2. Operational Security:
 - a. A written procedures manual should include
 - o Step by step description of control of media
 - o Access controls
 - o Description of exact destruction process
 - o Time frame for destruction
 - b. Visitor logs and visitor badges.
 - c. Walled or fenced secure areas with lockable doors and gates and video surveillance on all entrances and exits and work areas. The video records should be maintained for at least 90 days
 - d. A secure storage area for holding of to be destroyed material. The area should be large enough to accommodate all materials to be destroyed.
 - e. A secure area devoted only to the destruction of the material. No non-secure activity can occur in this area.
 - f. A monitored security alarm system to secure building when unoccupied.
 - g. A security system checklist with monthly records of checking for operational integrity of the system.



3. Destruction process
 - a. Inspection of equipment used for destruction. Is it adequate for the job?
 - b. Inspection of destroyed material and control of material after destruction.
 - c. Inspection of destruction area. Is it clean and orderly? Are the jobs batched or handled separately?
 - d. What quality control processes do they use to assure destruction?

4. Endorsements:
 - a. Certificate of destruction includes destruction method, date of destruction and materials destroyed by serial number if appropriate or weight or count.
 - b. Certificate of proper disposal includes environmental compliance and/or certification of responsible disposal methods. (A number of States require that electronics i.e. hard drives, PDA's cell phones be processed by a State licensed facility and mobile shredding of electronics may not be a permitted activity. Be sure to know your State's environmental regulations for the processing of electronics and that your vendor has the required certifications)
 - c. Does the vendor retain project records and for how long? Are they readily accessible?

5. Vendor Assurances:
 - a. The vendor has a valid business license.
 - b. The vendor can provide certificates of insurance showing general liability insurance of at least \$2,000,000, the State required workmen's compensation insurance and professional liability insurance.