

NAID AAA Certification®

PSPF Endorsements Addendum



For use by Australian i-SIGMA Member-organizations to obtain the Security Construction & Equipment Committee (SCEC) Protective Security Policy Framework (PSPF) Endorsement under NAID AAA Certification.

Please attach this completed form to the NAID AAA Certification application for either Physical Media Destruction or Electronic Media Erasure prior to submission. Although this addendum may be attached to either applications, the PSPF specifications below only apply to physical destruction of media in a facility-based environment.

Company Name: _____

Please indicate below the which apply to the facility being audited. These will be the aspects of the operation audited for PSPF compliance and will be reflected on the applicant's directory listing as the items for which it is PSPF Endorsed.

PSPF Endorsement - Paper/Printed Media and ICT Media protectively marked OFFICIAL: Sensitive
(Section 5 Below)

PAPER/PRINTED MEDIA

ICT MEDIA - 9 mm mesh screen size

PSPF Endorsement – High Security Destruction for Paper/Printed Media & ICT Media for Security Classified Information

(Section 6 Below)

PAPER/PRINTED MEDIA

PROTECTED – 9mm mesh screen size

SECRET & TOP SECRET – 3mm mesh screen size

ICT MEDIA

ELECTROSTATIC MEMORY DEVICES

PROTECTED – 9mm mesh screen size

SECRET & TOP SECRET – 3mm mesh screen size

MAGNETIC FLOPPY DISCS

PROTECTED – 9mm mesh screen size

SECRET & TOP SECRET – 3mm mesh screen size

MAGNETIC HARD DISKS

PROTECTED – 9mm mesh screen size

SECRET & TOP SECRET – 3mm mesh screen size

MAGNETIC TAPES

PROTECTED – 9mm mesh screen size

SECRET & TOP SECRET – 3mm mesh screen size

OPTICAL DISKS

PROTECTED – 9mm mesh screen size

SECRET & TOP SECRET – 3mm mesh screen size

SEMICONDUCTOR MEMORY

PROTECTED – 9mm mesh screen size

SECRET & TOP SECRET – 3mm mesh screen size

i-SIGMA USE ONLY	Rec'd	Member #:	Expiration Date:	Complete:
	Initial/Renew:	Auditor:	Audit #:	Audit Year: <input type="checkbox"/> Yes <input type="checkbox"/> No

SECTION 5: AUSTRALIAN PSPF ENDORSEMENT: PAPER/PRINTED MEDIA AND ICT MEDIA PROTECTIVELY MARKED OFFICIAL: SENSITIVE

Please fill out and submit in order to obtain NAID AAA Certification with PSPF Endorsement for Paper/Printed Media and ICT Media protectively marked OFFICIAL: Sensitive. To obtain NAID AAA Certification with PSPF endorsement for Paper/Printer Media and ICT Media protectively marked OFFICIAL: Sensitive, a Company must meet NAID AAA baseline requirements - Plant Based - Paper/Printed

	Initial	Criteria	Audit Methodology
5.0	Applicant Claims _____ _____ _____	<p><i>PAPER/PRINTED MEDIA AND ICT MEDIA PROTECTIVELY MARKED OFFICIAL: SENSITIVE</i></p> <p>To obtain PSPF Paper/Printer Media and ICT Media protectively marked OFFICIAL: Sensitive, a Company must be capable of meeting the specifications stipulated in Section 5.9.</p> <p>OFFICIAL: Sensitive information must be same-day destruction.</p>	<p>Auditor will verify the Company has equipment capable of producing the OFFICIAL: Sensitive particle size for ICT Media specified in 5.9 Criteria for Media Selected.</p> <p>Auditor will verify that Company Policies and Procedures as well as employee training must reflect that OFFICIAL: Sensitive Paper/Non-paper, or ICT media will be reduced to this particle size.</p> <p>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 PSPF endorsement for Paper/Printed Media and ICT Media protectively marked OFFICIAL: Sensitive</p> <p>Auditor will verify that the Company Policy and Procedures Manual details same-day destruction process.</p>
5.1	Applicant Claims _____ _____ _____	<p><i>CONTRACTS</i></p> <p>If the Company subcontracts the collection, transportation and destruction of media, the subcontractor must have NAID AAA Certification with PSPF endorsement for Paper/Printed Media and ICT Media protectively marked OFFICIAL: Sensitive</p>	<p>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 PSPF endorsement for Paper/Printed Media and ICT Media protectively marked OFFICIAL: Sensitive</p>
5.2	Applicant Claims _____ _____ _____	<p><i>COLLECTION AND TRANSPORTATION</i></p> <p>The Company permits agencies to escort and witness the transportation and destruction of the media.</p>	<p>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.</p>
5.3	Applicant Claims _____ _____ _____	<p><i>COLLECTION AND TRANSPORTATION</i></p> <p>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.</p>	<p>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.</p>
5.4	Applicant Claims _____ _____ _____	<p><i>COLLECTION AND TRANSPORTATION</i></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	Applicant Claims _____ _____	<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 	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.
5.6	Applicant Claims _____ _____	<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 (AS 4145.4: 2002) 	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.
5.7	Applicant Claims _____ _____	<p>FACILITY SECURITY</p> <p>The Company must have an enclosed area at the facility to unload media.</p>	Auditor is to inspect the facility to determine that there is an enclosed area to unload media.
5.8	Applicant Claims _____ _____	<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>	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).
5.9	Applicant Claims _____ _____	<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>The Company must have a Quick Reference Guide for classifications corresponding with correct mesh screen size.</p> <p>The Company must achieve the following particle sizes for ICT Media for OFFICIAL: Sensitive</p> <ul style="list-style-type: none"> • 9 mm mesh screen size <p>Audit Methodology: Auditor will verify Company's Policy and Procedures Manual on how the Company will achieve the resultant particle sizes.</p>	<p>Auditor will verify Company's Policy and Procedures Manual on how the Company will achieve the resultant particle sizes.</p> <p>As part of the testing process, it is essential that the residue particles are inspected to ensure:</p> <ol style="list-style-type: none"> Oversized particles produced by the destructor do not exceed two percent 2%. Linked particles produced by the destructor do not exceed two percent 2% No linked particles exhibit more than four (4) unseparated particles. <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. The auditor will be required to process a minimum of 100g same size per each type of media.</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>

5.10	Applicant Claims _____ _____	<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>	Auditor to verify through company documentation that National Police Checks have been conducted as per section 1.4.
5.11	Applicant Claims _____ _____	<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>	Auditor to verify through Company documentation that access employee identity is checked to Level 2 of the National Identity Proofing Guidelines.
5.12	Applicant Claims _____ _____	<p>PERSONNEL SECURITY</p> <p>Company ID should display an issue date and expiration date.</p> <p>All access employees must carry photographic identification (ID), which is issued and controlled by the company. An ID must have the following displayed:</p> <ul style="list-style-type: none"> • Photograph; • company logo; • full name or an identification number of -the employee; • an expiration date; and • the words 'PSPF Approved.' 	<p>Auditor to sight a Company ID to confirm it has:</p> <ul style="list-style-type: none"> • Photograph; • Company logo; • Full name or an identification number of -the employee; • An expiration date; and • The words 'PSPF Approved.'
5.13	Applicant Claims _____ _____	<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.</p>	Auditor to verify the Company records to confirm that employees who are not citizens or permanent residents hold a current work visa.
5.14	Applicant Claims _____ _____	<p>REPORTING</p> <p>A company must immediately contact the government agency when a security incident has occurred. The company must report all security incidents to T4 within five days of the incident occurring. A detailed report of the security incident must be submitted to T4 and the government agency fourteen days after the security incident is resolved.</p> <p>A company must establish written procedures for the following security incidents:</p> <ul style="list-style-type: none"> • potential release of customers information • unauthorised access to a customer's information. • unauthorised reading of a customer's information. • unauthorised access to discrete area while destruction process is being undertaken. 	<p>Auditor will check procedures manual to ensure there is a written policy stating the Company will meet the requirements in the timeframes set.</p> <ul style="list-style-type: none"> • Auditor will check procedures manual to ensure written policy

**SECTION 6: AUSTRALIAN PSPF ENDORSEMENT:
HIGH SECURITY DESTRUCTION FOR PAPER/PRINTED MEDIA AND ICT MEDIA FOR SECURITY
CLASSIFIED INFORMATION**

Please fill out and submit in order to obtain NAID AAA Certification with PSPF endorsement for high security destruction of Paper/Printed Media and ICT Media for security classified information. A company must also obtain the NAID AAA Certification with PSPF endorsement for Paper/Printed Media and ICT Media protectively marked OFFICIAL: Sensitive.

	Initial	Criteria	Audit Methodology
6.0	Applicant Claims <hr/> <hr/>	<p><i>HIGH SECURITY ENDORSEMENT</i></p> <p>To obtain NAID AAA Certification with PSPF endorsement for high security destruction of Paper/Printed Media and ICT Media for security classified information, a Company must meet Paper/Printer Media and ICT Media protectively marked OFFICIAL: Sensitive requirements.</p> <p>Security classified information must be same-day destruction.</p>	<p>Auditor will verify that the Company Policy and Procedures Manual details same-day destruction process.</p>
6.1	Applicant Claims <hr/> <hr/>	<p><i>CONTRACTS</i></p> <p>If the Company subcontracts the collection and transportation of media, the sub-contractor must have NAID AAA Certification with the High security destruction for Paper/Printed Media and ICT Media for security classified information.</p> <p>If the Company subcontracts the destruction of media, the sub-contractor must have the equivalent NAID AAA Certification and High security destruction for Paper/Printed Media and ICT Media for security classified information.</p> <p>A Company must ensure that sub-contractor is capable of destroying the equivalent of each type of asset and classification of Paper/Printed Media and ICT Media being destroyed.</p>	<p>Auditor will verify that the Company's Policy and Procedure Manual details who the company engages for subcontracting of destruction.</p> <p>Auditor to ensure that the subcontracted company is endorsed for the correct type of media and classification for destruction.</p>
6.2	Applicant Claims <hr/> <hr/>	<p><i>FACILITY SECURITY</i></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). • The discrete area must have closed circuit television (CCTV) coverage including: <ul style="list-style-type: none"> ○ Image resolution able to recognise (defined as 200 lines of resolution) a person in a security cage; • Images recorded on 25 frames per second (motion activated is appropriate); • accurate colour rendition; and • lighting appropriate to support the low light level camera capability. 	<p>Auditor to inspect facility to verify that a discrete area housing approved equipment exists.</p>

6.3	Applicant Claims _____ _____	<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> <p>Screen sizes:</p> <p>The Company must achieve the following particle sizes for High security destruction for Paper/Printed Media/ICT Media from PROTECTED to TOP SECRET:</p> <ul style="list-style-type: none"> ○ PROTECTED - 9 mm mesh screen size ○ SECRET and TOP SECRET - 3 mm mesh screen size 	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 _____ _____	<p>DESTRUCTION</p> <p>The Company must have approved destruction equipment assessed by i-SIGMA auditors on each audit.</p>	<p>i-SIGMA auditor to conduct testing and produce a test report in accordance with T4 destructor test criteria.</p> <p>Test reports are to be made available to T4 on request.</p>
6.5	Applicant Claims _____ _____	<p>DESTRUCTION</p> <p>The Company must have 3- or 9-mm mesh screen sizes available to fit the approved equipment.</p> <p>Company must label the diameter (in mm) of the screen size on the screen mesh itself.</p>	The auditor will confirm using vernier calipers to verify mesh screen size diameter.
6.6	Applicant Claims _____ _____	<p>DESTRUCTION</p> <p>The Company must maintain approved equipment to ensure that media is consistently destroyed to all the particle sizes the Company is endorsed.</p> <p>The Company shall permit the Auditor to collect a sample of each type of media to take away for testing if required.</p>	<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 correct screen size 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>As part of the testing process, it is essential that the residue particles are inspected to ensure:</p>

			<p>a) Oversized particles produced by the destructor do not exceed two percent 2%.</p> <p>b) Linked particles produced by the destructor do not exceed two percent 2%</p> <p>c) No linked particles exhibit more than four unseparated particles.</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. The auditor will be required to process a minimum of 100g same size per each type of media.</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>
6.7	Applicant Claims _____ _____	<i>DESTRUCTION</i> The Company permits agencies to visually confirm the correct mesh screen size is installed prior to destruction.	Auditor will verify that the Company's Policy and Procedures Manual requires the agency to visually confirm that the correct screen size has been fitted to the equipment.

Print Name:

Title:

Signed:

Date:

Please Submit Application via: FAX: +1 (480) 658-2088 | EMAIL: certification@isigmaonline.org

Complete assistance is available from i-SIGMA personnel.

In addition, though restrictions may apply, a Consulting Subsidy is available. Enquiries welcome!
HELP LINE: +1 (602)788-6243