



Request for Provisional Exception from NAID AAA Certification Criteria for the Purpose of Using Mobile Equipment in a Facility-based Operation

In principle, i-SIGMA recognizes and accepts that Mobile Destruction Vehicles can hypothetically be deployed within a Facility-based service platform in a manner that is certifiable under NAID AAA Certification standard for Facility-based operations. However, because of the special circumstances related to the use of Mobile Destruction Equipment to achieve Facility-based NAID AAA Certification, i-SIGMA requires that an Exception Request be filed with the certification application to verify the applicant fully understands and agrees to these requirements. If the Member Resolution Council determines that the terms described in this Exception Request/Agreement Form are reasonably accurate and appropriately acknowledged, the applicant is assured that said exception will be approved, subject, of course, to a **successful audit**.

According to the i-SIGMA Certification Program definitions, Facility-based information destruction operations is defined as: *Secure destruction activities—including the staging, destruction, baling, and storage of destroyed materials—housed within a secure building environment and executed using fixed-location commercial-grade destruction equipment.*

I, _____, as a duly appointed representative of
_____ (herein after referred to as “the Company”), located
at _____ (herein after referred to “the
Facility”), hereby petition the i-SIGMA Member Resolution Council (herein after referred to as
“MRC”) for a provisional exception from the requirement to use fixed-location destruction
equipment in a facility-based operation, opting instead to use a mobile destruction vehicle

within a secure enclosed facility that is located at the address indicated above.

The Company also acknowledges and attests to agreement with the following:

1. ☐ All destruction will take place within the enclosure of the Facility, which consists of four solid walls and a ceiling, and meets all criteria related to physical building security, particularly Sections 2.1 through 2.7 of the i-SIGMA Certification Specification Reference Manual. **Auditor Verified** _____
2. ☐ All other Certification Criteria are met, as described in the i-SIGMA Certification Specification Reference Manual **Auditor Verified** _____
3. ☐ The Company is, or will be applying for BOTH Mobile and Facility-based Certification. **Auditor Verified** _____
4. ☐ The only permissible uses of the mobile destruction vehicle will be within the enclosure of the Facility OR at the customer's premises. Offsite destruction in a parking lot, or other non-i-SIGMA approved location, which is not within the enclosure of the Facility, or is further than walking distance away from the customer's premises, is prohibited and doing so is grounds for removal of all NAID certifications.
Auditor Verified _____
5. ☐ A log is kept to record the dates and times that the mobile destruction vehicle is operating within the Facility, which will be verified by the auditor during the audit, by review of CCTV images. **Auditor Verified** _____
6. ☐ The mobile destruction vehicle will be made available to the auditor, within the enclosure of the Facility, during the initial audit and during all scheduled recertification audits, for demonstration purposes. **Auditor Verified** _____

7. [____] As part of the review of this Request for Provisional Exception, the MRC will take into account the Company's previous Certification compliance records. Any ethical violations or reports of Certification non-compliance, as determined by prior i-SIGMA audits may be grounds for MRC denial of this request.

8. [____] Any approval of this Request for Provisional Exception by the MRC will be provisional upon the submission of a NAID AAA Certification Application and a successful Certification Audit, which must occur within 120 days of notification that the Provisional Exception has been granted. **Auditor Verified** _____

9. [____] Attached to this Request for Provisional Exception is one of the following:

☐ A completed NAID AAA Certification Application, which attests that the Company is prepared for an audit, and ALL Certification criteria are currently being met for Mobile and Facility-based operations, with the exception of the fixed-location destruction equipment. **Auditor Verified** _____

☐ A detailed proposal, in which the Company describes the steps they intend to take to prepare the Facility to meet the Certification requirements for facility-based operations. By selecting this option, the Company agrees to submit a NAID AAA Certification application, and undergo an i-SIGMA Audit within 120 days of notification that the Provisional Exception has been granted. The Company also acknowledges that any approved request for exception is provisional and Certification is contingent upon auditor verification of the completion of the items contained within the proposal, including any additional requirements as determined by the MRC. **Auditor Verified** _____

Indications of my initials above and my signature below acknowledge that ☐ I am an owner, ☐ corporate officer or ☐ official representative of the Company submitting this Application, and have full authority to request that the Company participate in the Certification Program, with sufficient knowledge of the Company’s operation to accurately complete the Application, and the authority to execute this agreement.

Signed: _____ Date: _____

Print Name: _____ Title: _____

Company: _____

i-SIGMA Use Only			
Processor:	PER Received:	Application Received:	Audit # :
MRC Review:	MRC Approved Exception YES NO	Auditor:	Audit Appt.:
Auditor Rec:		DBU:	Expires: