

ADISA[®]

CERTIFICATION

ADISA Enquiry Document

For Certification Against

ADISA Standard 8.0

ICO approval CSC/003 and CSC/004



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1.0 Executive Summary

Thank you for enquiring about ADISA Certification to the ICT Asset Recovery Standard 8.0 (UK) which is a UK GDPR Certification Scheme.

This proposal introduces the certification process at a high level and confirms the fee structure.

It is important to make yourself familiar with the requirements which are listed in Standard 8.0, Part 2 which is included in this enquiry pack. Within the ADISA Standard 8.0 there are various types of criteria. Only Essential and DIAL 1 criteria are mandated to comply with to become “ADISA Certified” but depending on your customer requirements, you may need to comply with DIAL 2 and DIAL 3 as well. This is explained in the videos linked in 1.3.

Included within the enquiry pack is a spreadsheet called the “Statement of Compliance” (See 1.4) which can be used to perform a GAP Analysis. There is a chargeable pre-assessment service available from ADISA where we will audit you against the main requirements and produce a GAP report. (See 5.0)

1.1 Standard to be audited against

This proposal covers certification to ADISA ICT Asset Recovery 8.0 which has been approved by the [UK Information Commissioner’s Office](#) as a Certification Scheme under Article 42 of the UK GDPR.

1.2 UKAS Audit Process

The ADISA [audit process was accredited](#) by UKAS in August 2022 which concludes the approval of ADISA under Article 42 and 43 of the UK GDPR and we are now a UK GDPR Certification Scheme.

Our audit process is detailed within the scheme manual which will be provided upon application. This includes the non-conformance process which will provide reassurance of how ADISA and applicants work together to overcome any issues which may arise during the audit.

1.3 Data Impact Assurance Levels

An entirely new concept in Standard 8.0 is the Data Impact Assurance Levels (DIAL) which is explained in this short video here: <https://youtu.be/XYAu-Q0Qv0k>

This is something you will be required to ask your customers to complete which in turn will give them a DIAL rating.

During your own audit you will be assessed against all DIAL criteria, and you will be given your own DIAL rating to show your ability to meet those requirements. The expectation is that the service you provide will meet the DIAL rating which the customer has themselves determined is required by them.

There are answers to the many questions which may arise to this new concept in the Q&A within the ADISA ITAD area on our website.

1.4 Statement of Compliance (Gap Analysis)

Within the enquiry pack you will find a spreadsheet which contains all the criteria within Standard 8.0. You can use this to perform your own self-assessment for where your business meets the requirements of 8.0. Whilst there is no requirement to use this spreadsheet, you are expected to have performed your own self-assessment to ensure you have verified your own compliance before starting the formal evaluation stage with ADISA.

2.0 Application Review

We appreciate that certification can appear to be daunting at first which is why our application review process is in place to address the question “where do I start?”.

When you apply you will be given the scheme manual and granted access to the ITAD area on our website where guidance and templates can be found which will provide all the information you need to start your certification process.

When we have received your application form, unless you have already spoken with a member of the team, we will set up a call so we can run through the certification process and make sure you are clear on the steps to be taken during certification. Please note, no fee will have been charged at this point so this allows you the opportunity of raising concerns about how you might meet the requirements before committing.

This call also allows ADISA to ask some high-level questions about your business and should there be any obvious areas of non-conformance, permits a discussion to take place about what steps might be required before progressing to the audit itself.



The initial call was an excellent way of having a chat with ADISA and reassured me that the process wasn't confusing at all. The role of the auditor was clearly explained as being hugely helpful.

Certified ITAD 2023.

Started the process in November 2022

Moving Forward

Should you feel ready to start the process, please complete the [application form](#) which will initiate the application review. From that point an invoice for your fees will be raised (See 6.0) and your application will then be handed into the certification team.

From this point, you will receive a Certification Agreement to be signed and a Non-Disclosure Agreement. We are happy to sign your own NDA if you prefer.

Once fees have been paid and documents signed you will next hear from the Certification Director who will email a list of the auditors which have passed their impartiality assessment and are offered to you as your auditor. Once your auditor has been allocated, they will follow you through the entire certification process and will be there to answer any questions you might have at any point.

3.0 Audit Process

There are two stages to the audit process, Stage 1 and Stage 2. Stage 1 is an initial verbal assessment of your business to ensure that any critical areas which are missing are identified giving you enough time to fix prior to the full audit. In addition, your customer contract will be evaluated to ensure it meets the requirement. Stage 2 is the formal audit of your business resulting, ultimately, in certified status being awarded.

3.1 Stage 1: Entry Interview

The first part of your certification process will be a call with your auditor called the “Entry Interview”. This is an informal discussion normally lasting an hour, where the auditor will ask high level questions about your business to get a better an idea for how you operate. They will evaluate several key areas including:

- Customer Engagement.
- Sub-Processor usage of and operating as one.
- Chain of Custody and managing collections.
- Using third party logistics.
- Data Capability requirements
- Approach to Data Impact Assurance Levels. (DIAL)
- Records of Processing Activity. (GDPR Requirement)

The output from this stage will be an email with any areas of concern listed such that you can focus on them before the site audit is carried out.

At this point your audit date will also be agreed and booked so both parties have a target date to work towards.

You will now be added to the ADISA website as being company “Under application”.

3.2 Stage 1: Contract Analysis

An essential part of GDPR compliance is how the contract is formed between you and your customers. The way in which you create the contract with your customers will be assessed at this stage to ensure it is compliant with GDPR and to avoid you putting a non-compliant process in place with your customers.

You will be asked to provided copies of the documents you use for forming your contract. Examples could be:

- Quotation with Terms and Conditions.
- Customer Order Form.
- Data Processing Agreement.
- Statement of Works.

Your auditor will evaluate your current customer contract process and will provide a spreadsheet report identifying any areas which are missing from your current contracts. You will then need to fix these issues and re-submit a revised version of the documents to your auditor.

3.3 Stage 2: Site Assessment

There are three parts to the site assessment, remote, site and sampling.

For remote your auditor will request copies of a range of documents to assess before audit day. Examples will be policies documents, copies of insurances and any other document which can be assessed before audit day.

On the audit day, your auditor attends site and conducts the practical part of the audit where they assess all physical parts of the business. The auditor will require access to staff who are able to explain all operational processes and site security. If this requires staff or external contractors to be present, they will be required for the audit.

During the site audit, the auditor will identify a range of assets which will be recorded and used for Step 3 sampling. A site audit typically takes five hours and follows an audit plan which ensures consistency throughout.

The final part of the audit is where the auditor will request copies of key documents for the assets identified during the site audit.

3.4 Audit Closure

At the end of the audit, you will receive a report detailing how you have performed and if applicable, a non-conformance report to go through so any issues can be addressed.

For audits which achieve a "Pass" you will have achieved ADISA Certification against Standard 8.0, and you will be classed as certified. You will then undergo twice annual surveillance audits and another full audit at the end of a three-year cycle.

The audit process is explained in detail within the scheme manual which you will receive on application acceptance.

4.0 Training and Guidance

As a UKAS accredited company ADISA cannot tell applicants what they must do to comply with the requirements laid out within Standard 8.0, but we can provide the following:

4.1 Questions and Answers

Throughout your application you will have questions which are encouraged and welcomed. All questions should be emailed through to your auditor who provide a written response. We have built a Frequently Asked Questions (FAQ) list within the ITAD area of our website which you are encouraged to review before asking your own questions.

4.2 Training

There are formal training programs available from ADISA that are chargeable and those seeking certification who may feel they are some ways from being compliant might like to consider those before formally applying. A list of these modules can be found below with further information via www.adisa.global/training.

Within the ITAD area there are a range of free content to help organisations understand certification and also understanding other areas of the ITAD industry. Access to the members area is give once an application has been received and processed.

An example are three free courses which cover the following:

Course 1: How to become certified?
<https://youtu.be/DmKDqx6sdIM>

Course 2: Key Concepts within ADISA Standard 8.0.
<https://youtu.be/YR7AGji4Yrs>

Course 3: The good, the bad and the ugly audits.
<https://youtu.be/OdoWrV9s1Pw>

4.3 Templates and Scheme Manual

Once your application is submitted you will be provided with access to ITAD area which contains generic templates for many of the critical aspects of the business process. You will also be sent a copy of the Scheme Manual which is a detailed assessment of how the certification process works.

5.0 Pre-Assessment

In response to requests, ADISA now offers a pre-assessment audit which is where an auditor will attend site for a practical review of the site against the main requirements of Standard 8.0. The output will be a short report detailing areas which are identified as requiring remediation before moving to a formal audit. The report does not guarantee a future audit success but will identify areas on non-conformance and can be used as an initial GAP Analysis to aid applicants to understand what areas need to be addressed before formal application.

Please note: the report will not make recommendations for how you become compliant but will merely identify where the business short fallings might be.

The fee for this is £1,300 (Exc travel and accommodation). To enquire please email sales@adisa.global.

6.0 Certification Fees

Within the UK the annual certification fees are £5,500 and within Europe they are €7,000 which are due in full on application, but the renewal date is the date of the final site audit.

This fee includes initial evaluation, access to templates plus guidance notes, access to training and the final audit at the facility being certified. Also included in the annual fees are the surveillance audits, access to reduced cost training, free webinars and the annual conference if applicable.

Should an applicant not complete the certification process either due inability to take corrective actions after an audit failure or by making a business decision to stop the application process, no refund of fees is given.

7.0 Group Certification

Any applicant wishing to seek certification which operates from more than one location can apply for a group certification. Here all the sites where ITAD work is carried out are included in the overall application for certification. To qualify the applicant must meet the following specification:

- All sites must be operated by the company or group applying.
- All sites must meet or exceed the minimum ADISA requirements for physical security and operational capabilities.
- All critical documents used during service provision must be the same. (For example. Each site must follow the same customer engagement process and use the same documentation).
- Sanitisation techniques should be comparable at each site. (A central location for physical destruction would be permitted with controls in place).

For group certification, the application is processed in the normal way such the customer contract is assessed and assured for compliance before moving forward to site audits. On application, a list of sites which are to be presented for certification must be shared and after the entry interview (See 3.1) an audit schedule is agreed.

Each site then has a full audit scheduled and as each audit is concluded that site will be issued with a DIAL rating, certificate and logo and become "ADISA Certified". Each site certified has a separate

micro-page on the ADISA website. This approach enables site variations such as DIAL levels and sanitisation capabilities to be disclosed publicly.

All sites which are submitted for evaluation under Group Certification must be audited within 12 months of the first site being audited and the Group Renewal Date, when fees become due, is 12 months from the date of the first site audit.

From this point each site then undergoes a single surveillance audit each year. This follows the normal ADISA auditing process with the exception that the full audit schedule will be amended such that in the first renewal cycle (Full audit) the sites are evenly audited over a three-year period thus avoiding doing a full audit at each site in the same year. From the first cycle, the full audit schedule returns to a three-year cycle with annual surveillance audits carried out.

If there is an issue found at one site which relates to commonly used documents, such as a change in the customer contract, the group certification may be reviewed. This will be discussed between applicant and auditor at that time and action will depend on context of issues found.

7.1 Group Certification Fees

ADISA fees are £5,500 per year for the first site and then £2,600 per year for each subsequent site. Fees are due in full on application and the renewal date is the date of the first site audit.

For overseas audits pricing is available on request.

8.0 Questions / Next Steps

We're very happy to answer any questions you may have when considering ADISA Certification so please contact the team on sales@adisa.global.

Should you be ready to progress then all you need to do is complete the [Application Form](#). From this point an NDA and Certification Agreement will be raised. You can provide us with your own NDA to sign if you prefer and the Certification Agreement outlines exactly what is expected by both parties during the audit process.