

# DATA FLOW ANALYSIS QUESTIONNAIRE

## Directions:

- Please check all boxes that apply. References to “you” or “your” refer to your business/organization.
- “Personal information” means information that can be identified to a specific individual, such as an identifying number, home address or telephone number, physical characteristics, ethnicity, religious or cultural affiliations, medical information, income and financial information, etc.
- "Customer Data" means information about a customer that is other than personal information, and may include affiliations, purchasing preferences, website visits or other information about a customer's potential interests for purchasing or other transactions.
- Some space is provided for description/comment. Please feel free to use additional paper if more space is needed.
- Thank you for your participation. Please return the questionnaire by November 17, 1999, to the OIP at:

Mail: 235 South Beretania, Room 304  
Honolulu, Hawaii 96813

Fax: (808) 586-1412

Email: [ois@state.hi.us](mailto:ois@state.hi.us)

**1. YOUR BUSINESS/ORGANIZATION AND DATA TYPES:**

A. Please indicate the primary sector(s) of business in which you are involved:

- |   |   |
|---|---|
| <input type="checkbox"/> Retail           | <input type="checkbox"/> Credit Reporting       |
| <input type="checkbox"/> Wholesale        | <input type="checkbox"/> Financial Services     |
| <input type="checkbox"/> Service Industry | <input type="checkbox"/> Telecommunications     |
| <input type="checkbox"/> Marketing        | <input type="checkbox"/> Information Technology |
| <input type="checkbox"/> Media            | <input type="checkbox"/> Consumer Information   |
| <input type="checkbox"/> Insurance        | <input type="checkbox"/> Entertainment          |
| <input type="checkbox"/> Other _____      |   |

Comments:

B. Please indicate the size of your business/organization:

- Small     Medium     Large

C. Please identify those area(s) in which you use personal information:

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> <b>Human Resources</b>  | <input type="checkbox"/> <b>Marketing</b>   | <input type="checkbox"/> <b>Sales</b>       |
| <input type="checkbox"/> <b>Financing</b>  | <input type="checkbox"/> <b>Insurance</b>   | <input type="checkbox"/> <b>Collections</b> |
| <input type="checkbox"/> <b>Judicial</b> (bankruptcies, foreclosures, liens against, etc.) |   |   |
| <input type="checkbox"/> <b>Credit</b>   | <input type="checkbox"/> <b>Other</b> _____ |   |

Comments:

D. Identify those area(s) in which you rely or anticipate relying upon electronic data processing and storage, and for each area indicate the extent or anticipated extent of reliance upon electronic processing and storage.

	<u>Great</u>	<u>Moderate</u>	<u>Minimal</u>
<input type="checkbox"/> Human Resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Marketing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Sales	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Collections	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Credit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Financing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Insurance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

E. Identify those area(s) in which you use paper as the media for processing and storage of data, and for each area indicate the extent of reliance upon paper as the media:

	<u>Great</u>	<u>Moderate</u>	<u>Minimal</u>
<input type="checkbox"/> Human Resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Marketing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Retail	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Collections	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Credit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Financing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Insurance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

F. To what extent do you use personal information and customer data that is received from outside the USA or that depends upon the transmission of personal information to foreign countries:

- Great       Moderate       Minimal

If possible, please provide an approximate percentage of these types of transmissions: \_\_\_\_\_%.

G. Identify those areas in your business that depend upon personal information that comes from outside the USA or that depends upon the transmission of personal information to foreign countries:

- |  |                                      |
|--|--------------------------------------|
| <input type="checkbox"/> Human Resources | <input type="checkbox"/> Collections |
| <input type="checkbox"/> Retail          | <input type="checkbox"/> Credit      |
| <input type="checkbox"/> Market          | <input type="checkbox"/> Financing   |
| <input type="checkbox"/> Insurance       | <input type="checkbox"/> Other _____ |

Comments:

**2. REGULATION:**

A. Identify the federal (U.S.A.) laws that you are subject to that deal with personal information and customer data handling practices:

B. Please indicate the extent to which you are required to comply with the data protection laws of countries other than the U.S.A.:

- Extensively       Moderately       Somewhat       Very Little

If applicable, please specify which countries and which laws:

If applicable, please comment on your encounters with non-U.S.A. data-protection government regulators:

**3. COLLECTION:**

A. Identify your method(s) of data collection:

- |  |   |
|--|---|
| <input type="checkbox"/> In person               | <input type="checkbox"/> Telephone                              |
| <input type="checkbox"/> Orally                  | <input type="checkbox"/> Facsimile                              |
| <input type="checkbox"/> Form/Application        | <input type="checkbox"/> Internet                               |
| <input type="checkbox"/> Mail (Form/Application) | <input type="checkbox"/> Computer Network (other than internet) |
| <input type="checkbox"/> E-mail                  | <input type="checkbox"/> Other _____                            |

B. Identify the type(s) of personal data collected:

- |                                       |   |
|---------------------------------------|---|
| <input type="checkbox"/> Name         | <input type="checkbox"/> Social Security Number |
| <input type="checkbox"/> Home Address | <input type="checkbox"/> Home telephone Number  |
| <input type="checkbox"/> Age          | <input type="checkbox"/> Ethnicity              |
| <input type="checkbox"/> Income       | <input type="checkbox"/> Other _____            |

C. If you collect customer data, please describe what you collect in as much detail as possible:

D. Identify the source from which personal information or customer data is collected:

- The person to whom the data pertains (usually customer)
- A secondary source
- An electronic tracking method

If you receive personal information from a secondary source, please describe how the accuracy of the data is ensured:

If you receive personal information from an electronic tracking source, do you advise the customer of your collection practices?

- Yes  No

E. Identify, by job title or position, those within your business/organization who collect personal information and customer data:

F. Before or at the time you collect personal information, do you advise the person to whom the data pertains of:

- The reason for collection of data?  Yes  No
- How the data will be used?  Yes  No
- An ability to:
  - “opt-in”  Yes  No
  - “opt-out”  Yes  No

G. Before or at the time you collect customer data, do you advise the person of:

- The fact you are collecting the data?  Yes  No
- How the data will be used?  Yes  No
- Your electronic tracking practices?  Yes  No

**4. DATA PROCESSING AND STORAGE:**

A. Data is processed:  In-house  By Outside Vendor/Contractor

If data is processed outside, please describe the terms applicable to the outside processor regarding the use, sale, and redisclosure of information:

The law of which jurisdiction governs the contract?

B. How long do you keep:

Personal information:

Customer data:

**5. INFORMATION USE WITHIN BUSINESS/ORGANIZATION:**

A. Is access to personal information and customer data restricted to those persons with a business need to know?  Yes  No

B. How is “business need to know” defined?

C. Indicate the purpose(s) for which personal information and customer data is used:

- |  |  |
|--|--|
| <input type="checkbox"/> Identification                            | <input type="checkbox"/> Communication (with person) |
| <input type="checkbox"/> Marketing & Sales/<br>Product Development | <input type="checkbox"/> Updates on Services Offered |
| <input type="checkbox"/> Collections                               | <input type="checkbox"/> Account Information         |
| <input type="checkbox"/> Human Resources                           | <input type="checkbox"/> Risk Assessment             |
|  | <input type="checkbox"/> Other _____                 |

D. Is personal information and customer data used for purposes other than those specified as the reasons for its collection?  Yes  No

E. Please describe **how** personal information is shared, disclosed or disseminated within your business/organization and its subsidiaries:

F. Do you share personal information with affiliates?  Yes  No

If so, please define affiliates: \_\_\_\_\_

G. Do you obtain consent to share personal information with your affiliates?  Yes  No

H. Some companies collect massive amounts of transactional data from their customers, and sometimes append it with data obtained from other sources. Then the data is “mined” to reveal patterns and trends which previously were not obvious.

Do you employ data warehousing and data mining of personal information and customer data?

Yes  No

If so, please describe the purposes of your use of these technologies:

**6. PROTECTION OF DATA:**

A. Please describe how you ensure data is accurate, complete, and up-to-date:

B. Do you protect personal information and customer data against risks such as loss or unauthorized access?  Yes  No

If so, please describe safeguards in place:

C. Please describe how the accuracy and integrity of information is ensured during its electronic transmittal:

D. Do you educate employees, agents, contractors and temporary employees on protection of information?  Yes  No

If so, please describe your educational program:

Is the training periodic?  Yes  No

If so, what is the frequency? \_\_\_\_\_

**7. DISSEMINATION/DISCLOSURE OF INFORMATION TO THIRD PARTIES:**

A. Do you share personal information or customer data with third parties?  Yes  No

If so, do you obtain consent to share personal information or customer data outside of your organization?

Yes  No

B. Do you sell, rent, or lease personal information or customer data?  Yes  No



If so, to what types of businesses?

Do you obtain consent to sell, rent or lease personal information or customer data?

Yes

No

- C. Do you place restrictions on the use or disclosure of the information by the third party?  Yes  No

If so, please describe those restrictions in general terms:

- D. Please provide the approximate percentage of your total revenues derived from the sale, rental, or lease of information: \_\_\_\_\_%.

## 8. OPENNESS AND ACCOUNTABILITY:

- A. Are your personal information practices and policies readily available to the public?

Yes

No

If so, please describe how they are made readily available:

- B. Can an individual access and correct any personal information maintained by you about that individual?  Yes  No

If so, please describe how an individual can access and correct information:

- C. Do you have a designated person who is responsible for compliance with your information practice policies and for handling complaints?

Yes

No

Comments: