

This confidential self-assessment form is being provided to the CARU staff for the sole purpose of this request that the site(s) listed below be accepted into the Children's Online Privacy Protection Act (COPPA) Safe Harbor program. This document will not be shared or used with anyone outside the CARU staff for any other purpose without the written consent of the applicant.

CONFIDENTIAL CARU SELF-ASSESSMENT FORM

Site name(s), URL(s) covered by this request:

Company Name:

Contact Person:

Contact phone and email:

Please note: If you are seeking Safe Harbor status for multiple sites and information collection practices differ significantly at the sites, it is preferable to submit separate forms to facilitate the review.

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1. Does your site have a privacy policy linked from its home page and at each area where you collect personal information from a child under 13? If yes, please attach a copy of your privacy policy for each site.
 - Yes
 - No

 2. Does the privacy policy: (check all that apply)
 - Provide full name and online and offline contact information for the operator(s)
 - Explain what personal information is collected
 - How personal information is used
 - With whom personal information is shared

 3. Does the site collect (please check all that apply):
 - first name only
 - screen name
 - full name (first and last name)
 - domain name
 - e-mail address of child
 - e-mail address of parent
 - date of birth/age/grade in school
 - full mailing address of parent or child
 - phone number
 - social security number
 - city only
 - city and state
 - zip code
 - credit card number
 - name of school
 - other, please specify _____

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4. By what means is this information collected?

- Site registration
- Contest/ssweepstakes
- Order forms
- Surveys/polls
- Newsletters
- Newsgroups,forums, chat rooms and/or bulletin boards
- Other, please describe _____

5. If your site offers chat, bulletin boards, forums or newsgroups are they monitored or screened in any way?

- Yes, please describe: _____
- No

6. How is the information used? Check all applicable boxes.

- Aggregated and discarded
- To personalize the visitor's web experience
- To fulfill the consumer's request (e.g., sign them up for a newsletter, enter them into a contest or sweepstakes, fill an order)
- To contact consumer
- Shared (with or without payment) with third parties.
- To notify parents at a separate e-mail address of a request from a child
- Other, please specify _____

7. Does the site place cookies?

- Yes
- No

8. For what purpose(s) are cookies used? Please check all applicable boxes:

- Keep track of shopping cart
- Keep track of login name/passwords
- Keep track of click stream data
- Personalize Web site
- Other, please specify _____

9. If cookies are used, are they coupled with any personal information?

- Yes, please explain: _____
- No

10. Does the site allow other companies, such as advertisers, to deliver cookies to users while on the Web site?

- Yes please explain: _____
- No

11. Do agreements with Web hosts, advertisers, and others establish limits on their rights to use personal information except to provide technical or fulfillment services to the site?

- Yes
- No

12. If you use (a) Web host(s), what is/are the name of the host(s)?

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21. If yes, are they marked as ads?

- Yes
- No

22. Are the ads suitable for children?

- Yes
- No

Provide a few examples.

23. If a user leaves the site to view an advertiser's site, are bumper screens used?

- Yes
- No

SECURITY

24. Is your server physically secure?

- Yes, please explain: _____
- No

25. Do you encrypt data during transmission?

- Yes, what kind of information is encrypted?
 - Transactional
 - Other (describe): _____
- No

26. How do you protect data obtained online stored by you using (check all that apply)

- Firewalls
- Encryption
- Password-protected access
- Limits on number, level of employees with access
- Physical security means
- Other

27. Do you (check all that apply)

- Designate an individual responsible for compliance with your privacy policy
- Disable employee access to data upon termination or, when appropriate, a change of responsibilities
- Investigate external or internal complaints about unauthorized access or use should you receive any
- Offer periodic education, training, reminders to appropriate employees
- Conduct internal or third party audits
- Review, update, change privacy policies when you materially change data collection activities

28. Are Non-Disclosure Agreements regarding personal information in place with contractors and third parties?

- Yes
- No

29. Is there any other pertinent information you would like to provide about the site(s) or your privacy policy?

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ATTESTATION

In submitting this application on behalf of _____, I undertake that, if accepted into CARU's Safe Harbor program, the Website (s) identified in this application will:

Adhere fully to CARU's *Self-Regulatory Guidelines for Children's Advertising* and;

Participate fully in resolving any disputes through the *NAD/CARU/NARB Procedures*. In the event of a material breach, if internal due diligence and CARU's inquiry reveal no satisfactory explanation of how the breach occurred, the applicant will at CARU's request, and at its own expense, conduct a third-party security audit to resolve the matter;

Submit to CARU on the anniversary of the date of acceptance into the CARU Safe Harbor program a Self-Assessment Form based on current privacy practices on _____'s Website(s); and

In the event of any material change to the privacy practices on _____'s Website(s), submit to CARU for review a full description of such change.

Designated Safe Harbor Representative

Date:

Printed Name and Title: _____