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| **Question:** | **Introduction and explanation for collection of this information:To comply with GDPR, CHDI is required to obtain information regarding the planned use/processing, hosting and storage of data and the data security and protection measures to include information on applicable data security policies for this organization.** | **Instructions:** | **Answer:** |
| 1 | What is the full legal name of the organization that will receive the data? | (NOTE: The organization receiving the data must be the same as the organization that will sign the agreement pursuant to which the data will be provided to such organization) |  |
| 2 | State which country is this organization established in?Is this organization established in the European Union (EU)? (YES/NO)Is this organization established in the United Kingdom (UK)? (YES/NO) | (NOTE: The organization receiving the data must be the same as the organization that will sign the agreement pursuant to which the data will be provided to such organization) | Name of Country: [\_\_\_\_\_] Established in the EU? [\_\_\_\_\_]Established in the UK? [\_\_\_\_\_] |
| 3 | If this organization is established in a European Union (EU) country, please provide the name of Data Protection Commission/Office the Organization is subject to (and, as applicable, the Organization's registration number) | EU Country list as of August 30, 2021 (reference): (Austria, Belgium, Bulgaria, Croatia, Cyprus, Czechia, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden) | Name of EU Data Protection Commission/Office the Recipient is Subject to (and, as applicable, the Organization's registration number): [\_\_\_\_\_]  |
| 4 | If this organization is not established in an EU country, does the country this organization is established (or, alternatively, does the organization itself) hold a European Commission Decision that such country (or, alternatively, organization) provides an adequate level of protection in accordance with Article 45 of the GDPR?If YES, provide details. | Provide Details and Information of the Applicable Finding of the European Commission Related to Adequate Level of Protection in Accordance with Article 45 of the GDPR: Non-EU Country list that hold a European Commission Decision as of February 27, 2022: (https://ec.europa.eu/info/law/law-topic/data-protection/international-dimension-data-protection/adequacy-decisions\_en): The European Commission has so far recognized Andorra, Argentina, Canada (commercial organizations), Faroe Islands, Guernsey, Israel, Isle of Man, Japan, Jersey, New Zealand, Republic of Korea, Switzerland , the United Kingdom under the GDPR and the LED, and Uruguay as providing adequate protection. | Provide Details and Information of the Applicable Finding of the European Commission Related to Adequate Level of Protection in Accordance with Article 45 of the GDPR: [\_\_\_\_\_]  |
| 5 | If this organization is established in the United Kingdom (UK), please provide Information Commission's Office (ICO) (and, as applicable, the Organization's registration number) | [Website Reference:](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/international-transfers/)The UK has adequacy regulations about the following countries and territories:• The European Economic Area (EEA) countries.These are the EU member states and the EFTA States.The EU member states are Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden.The EFTA states are Iceland, Norway and Liechtenstein.• EU or EEA institutions, bodies, offices or agencies.• Gibraltar.• Countries, territories and sectors covered by the EuropeanCommission’s adequacy decisions (in force at 31 December 2020).These include a full finding of adequacy about the following countries and territories:Andorra, Argentina, Guernsey, Isle of Man, Israel, Jersey, New Zealand, Switzerland and Uruguay.In addition, the partial findings of adequacy about:• Japan – only covers private sector organisations.• Canada – only covers data that is subject to Canada's Personal Information Protection and Electronic Documents Act (PIPEDA). Not all personal information is subject to PIPEDA. It applies to private sector organisations that collect, use or disclose personal information in the course of commercial activities. For more details please see the EU Commission’s adequacy finding on the Canadian PIPEDA.• Countries, territories and sectors covered by UK adequacy regulations (from 1 January 2021):• The Republic of Korea (South Korea). | Name of the UK Information Commission's Office the Recipient is Subject to (and, as applicable, the Organization's registration number): [\_\_\_\_\_] |
| 6 | Has this organization appointed a Data Protection Officer? (YES/NO) | If Q6 = YES, go to Q7.If Q6 = NO, go to Q8. |  |
| 7 | If Q6 = YES, Provide the contact details of this organization's Data Protection Officer(s)?  |  | Data Protection OfficerName: Address: Position: Email: Phone:  |
| 8 | If Q6 = NO, Provide the contact details for this organization of the person responsible for data protection matters. |  | Person Responsible for Data Protection MattersName: Address: Position: Email: Phone:  |

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| Order | **DATA USE INFORMATIONPlease complete the following data security questionnaire. If this organization already has a Technical and Operational Measures (TOMs) document, please upload that as well. You may find it easier to provide links to this organization’s SOPs, and/or provide the organizations security SOPs. This is also acceptable given that these documents cover the below security items.** |   |   |
| 1 | List all organizations and countries where the data will be used/processed, hosted and/or stored for and by the organization? | This includes all Third-Party Data Storage Service Providers and IT Service Providers (AWS, Goggle Cloud, etc) which the organization will utilize for using/processing, hosting and storing the data. | Name of Organization/Name of Country (Countries): [\_\_\_\_\_] / [\_\_\_\_\_]  |
| 2 | Does this organization hold an ISO 27001 certification? (i.e., Is this organization ISO certified?) (YES/NO) | If Q2 = NO, go to Q3 |  |
| 3 | If Q2 = NO,Does this organization hold any industry recognized security certification(s) from any accredited third party? (YES/NO) | If Q3 = YES, please list all security certifications. |  |
| 4 | What technical and organizational security measures (TOMs) does this organization employ that will protect the data provided by CHDI in this organization's computer systems, operating systems, network, applications and databases? | For example: encryption, password protections, mandatory logins, testing, ability to restore availability and access to data in the event of a physical/technical event, segregation of data, access control systems, card readers for access to areas, back-ups, confidentiality agreements, system updates and patchingIf possible, please provide an electronic copy of this organization's technical and organizational security measures (TOMs) in either pdf/docx format or via a HTML link. |  |
| 5 | Please describe this organization’s detailed data access and control policy? | For example:authorization, management, implantation processes.Include: Bring Your Own Device (BYOD) policies if applicable, unauthorized device (flash drives, tablets, external drives, etc.) policies and data access logging policies. |  |
| 6 | Please describe this organization's data encryption policy (in transit and at rest)? |  |  |
| 7 | Has this organization had a security assessment performed (Penetration (PEN) test, vulnerability scan, etc.)? (YES/NO) | If Q7 = YES, please provide date performed and any related findings. |  |
| 8 | Has this organization experienced a security breach resulting in a loss or unauthorized disclosure of personal data within the past six years? (YES/NO) | If Q8 = YES, provide details of each incident and how it was resolved.  |  |
| 9 | Please describe this organization’s data breach reporting, notification, tracking and resolution policy? |  |  |
| 10 | Please describe this organization's data security risk mitigation policy? |  |  |
| 11 | Please describe this organization's audit process for maintaining compliance for information and data security? |  |  |
| 12 | Please describe this organization's data and records retention policy? |  |  |
| 13 | Does this organization have a business continuity and disaster recovery plan? (YES/NO) | If Q13 = YES, please provide details on the business continuity and disaster recovery plan. |  |
| 14 | Are this organization's security and privacy policies reviewed and updated periodically? (YES/NO) | If Q14 = YES, please provide details on how often it is reviewed and updated. |  |
| 15 | Does this organization routinely perform training on the handling of personal data and information security? (YES/NO) | If Q15 = YES, please provide details describing the type of training and the frequency. |  |
| 16 | Please provide an electronic copy of any other organization policy(ies) (in pdf/docx format or via HTML link) which this organization would like to provide in response to any of the above questions. |  |  |