

## **APPENDICES**

## Privacy Activities of Professor Alan F. Westin, Columbia University

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### General

Alan F. Westin is Professor of Public Law and Government at Columbia University, where he has taught for the past 37 years. Born in 1929, he earned his BA. from the University of Florida; his LL.B. from Harvard Law School; and his Ph.D. in political science from Harvard University. He is a member of the District of Columbia Bar, the author or editor of 26 books, and has been listed for the past three decades in Who's Who in the United States.

### Privacy Activities

For four decades, Professor Westin has specialized in studying, writing, and consulting about the impacts of information technology on individuals, organizations, and society.

#### 1. Writing and Speaking

Dr. Westin's award-winning 1967 book, Privacy and Freedom, is considered the leading work in this field. Other books he has written about privacy include: Databanks in a Free Society (1972), with Michael Baker, for the National Academy of Sciences, and two monographs for the U.S. National Bureau of Standards on Computers, Health Records, and Citizen Rights (1976) and Computers, Personnel Administration, and Citizen Rights (1979). He is currently completing a new book for the Columbia University Press on "The American Public and Privacy: New Roles and Rules for the Computer Age."

In addition to publishing in law reviews and scholarly journals, his articles on privacy issues have appeared in the New York Times, Wall Street Journal, Fortune, Business Week, the Los Angeles Times, Newsday, and many industry, trade, and technical publications.

He has discussed privacy issues often on such television programs as the Today Show, CBS Morning Show, the McNeil-Lehrer Show, and many others. In the past three decades, he has spoken about privacy issues at the national conventions of more than two hundred business, professional, and governmental associations.

#### 2. Governmental Work

In the governmental arena, he was consultant to Senator Sam Ervin Jr. in drafting the Federal Privacy Act of 1974; a Presidential appointee (by Richard M. Nixon) to the National Wiretapping Commission (1973-76); Senior Consultant to the U.S. Privacy Protection Commission (1975-77); Privacy Consultant to the New York State Identification and Intelligence System, and Project SEARCH; and a member of Privacy Task Forces for the U.S. Department of Commerce, General Services Administration, Social Security Administration, and other federal agencies.

He has been chair or a member of more than 20 panels of the U.S. Office of Technology Assessment on privacy issues over the past two decades. Dr. Westin has testified frequently since the late 1960's before dozens of Congressional and state legislative committees on privacy issues involving credit, employment, medical and health records, banking, insurance, law enforcement, telecommunications, credit cards, and other issues.

During the 1970's, he was Vice Chairman of the New Jersey State Commission on Individual Liberty and Privacy, which held extensive hearings on privacy issues in banking, insurance, public records, health records, and other sectors, and sponsored several privacy bills that were enacted by the New Jersey legislature.

### **3. Public Opinion and Survey Work**

Over the past 18 years, he has been the academic advisor to Louis Harris & Associates for fifteen national public and leadership opinion surveys of privacy conducted in the United States and Canada.

These have included national surveys on "The Dimensions of Privacy" (for Sentry Insurance, 1979); "Consumers in the Information Age" (for Equifax, 1990, and consumer privacy surveys in 1991, 1992, 1994, 1995, and 1996); "Consumers and Privacy in the Information Age" (for Equifax Canada, 1993); "Health Information Privacy Survey, 1993" (for Equifax Inc.); "Workplace Privacy Issues," for the Educational Film Center, 1993; "Credit and the Consumer, 1994" (for VISA and MasterCard); and "Interactive Services, Consumers, and Privacy" (sponsored by Bell Atlantic, U.S. West, and Citicorp Technology Resources), 1994

He has also designed and supervised seven proprietary or public surveys on privacy issues for business firms and industry associations in collaboration with Opinion Research Corporation of Princeton, N.J. A recently-released public survey done with ORC was on "Public Attitudes Toward Finger Imaging as an Identification Technique" (for National Registry, Inc.), 1996.

### **4. Private-Sector Consulting, Training, and Advocacy Work**

In the private sector, Dr. Westin has been a consultant on privacy over the past 25 years to several dozen corporations. In the early 1970's, he developed IBM's employee privacy guidelines, which served as a model for hundreds of other companies in the late 1970's and 1980's. He has been the principal consultant for new privacy codes by such companies as American Express, Equifax, and Security Pacific National Bank. Among the other firms for which he has been a privacy consultant for consumer and customer privacy issues are Citicorp, Prudential, Aetna Life & Casualty, Nabisco, A.T. & T., and many more.

Dr. Westin has personally conducted privacy-issues briefings for CEO's, senior management, and Boards of Directors in over 100 corporations.

### **5. Privacy & Legislative Associates**

In 1993, Dr. Westin joined with Robert R. Belair, a leading Washington attorney specializing in privacy and freedom of information law, to found **Privacy & Legislative Associates (P&LA)**, a consulting firm in Washington that specializes in privacy work. P&LA clients include Glaxo Wellcome, Smith Kline Beecham, HealthPoint, Bell Atlantic, Pacific Telesis, Chrysler Corporation, Health Data Exchange (a Shared Medical Systems company), EMX, National Registry, Inc., Image Data, VISA U.S.A., Harris Corporation, and Science Applications International Corporation (SAIC).

P&LA works with clients to develop innovative privacy policies and procedures; make presentations to senior executives; conduct privacy training programs for staff and operating managers; support preparation of public relations and marketing materials presenting privacy policies and practices; conduct proprietary surveys on the public's perceptions of client products and services, and client privacy policies under consideration; provide representation of clients on

pending legislation in Congress and the states, and before federal and state regulatory agencies. and present proposed client privacy policies for advance (and confidential) reactions by key consumer, employee, and privacy groups and experts; and provide crisis-management support for clients experiencing major public challenges.

P&LA also offers a monthly, customized monitoring report service for clients on an industry-by-industry basis, covering emerging legislative and regulatory trends, advocacy-group positions, litigation trends and judicial-decision analysis; analysis of published surveys and opinion trends; and media-trend round-ups. These reports cover trends for firms in the credit card, telecommunications, health care, pharmaceutical, information services, and biometric identification industries.

## **6. Privacy & American Business**

Also in 1993, Dr. Westin founded (with Robert Belair) a new bi-monthly report and information service called *Privacy and American Business*. (P&AB) P & A B covers consumer, health, communications, and employment privacy, as well as multi-national and international arenas, and is the first "privacy-sensitive but business-friendly" publication in this field. It is supported by continuing grants from 25 leading companies and industry associations, including American Express, Citicorp, Equifax, Bell Atlantic, Pacific Bell, U.S. West, VISA, MasterCard, Microsoft, the National Commission on Confidentiality of Health Records, Direct Marketing Association, State Farm Insurance, MCI, A.T. & T., Metromail, TransUnion, First USA, First Data Corporation, Prudential Insurance, Experian (formerly TRW), and other firms.

P&AB organizes and conducts an annual Fall national conference on "Managing The Privacy Revolution," in Washington, D.C. The Third Annual conference, held in October, 1996, explored the 1995-96 developments on business-privacy issues, privacy issues in cyberspace, and the increasing globalization of privacy issues for bbusiness (including U.S. multi-national companies' relationship to the European Union's recently enacted Data Protection Directive).

P&AB also manages the Corporate Privacy Leadership Program, a cooperative, peer-group forum sharing policies and techniques among pro-active companies and industry associations in financial services, telecommunications, insurance, health-information processing, human resources, information services, online systems, and other sectors.

## **7. Privacy and Health Information**

Since the mid-1960's, Professor Westin has maintained a continuing special interest in medical confidentiality and health-information-systems privacy issues.

A comprehensive field study of computerization trends and health information was led by Dr. Westin for the U.S. National Bureau of Standards between 1974-76, and produced Westin's report on Computers, Health Records, and Citizen Rights (1976). The Privacy Code this report recommended was sent by NBS to every hospital in the U.S., and served as a model for hundreds of hospital and health institutions. The NBS Report remains to this day the leading empirical study of how computer use is affecting the three main zones of health information use -- direct care, payment and quality-assurance, and social uses of medical data.

Between 1978 and the early 1980's, he served as Research Director of the National Commission on Confidentiality of Health Records, a national association composed of the major health-care provider, payer, and quality-care associations in the United States. During this period, he spoke frequently on privacy and health information issues at national conventions or special meetings of the American Medical Association, Health Insurance Association, American

Medical Records Association, American Orthopsychiatric Association, American Psychiatric Association, and many other health-professional groups.

In the past 2-3 years, he has been a featured speaker at the U.S. Department of Health and Human Services Privacy Task Force Conference on Medical Records and Privacy (February, 1993); a reviewer of reports on privacy for the National Institute of Medicine (on emerging regional health data systems), the Journal of the American Medical Association, and for the U.S. Office of Technology Assessment (on privacy and the computerized medical record).

Dr. Westin was the privacy advisor to a 1994 Public Television Special Documentary on "Privacy and Health in the American Workplace." Dr. Westin drafted a national corporate-employee and human resources executives survey conducted by Louis Harris and Associates for use on this program, covering employee health and privacy issues in depth.

In 1993, he served as the academic advisor for a national public and leaders Harris survey on "Health Information Privacy." Results from this survey were released at a national conference in Washington, D.C. in November, 1993, at which Dr. Westin spoke, co-sponsored by the U.S. Office of Consumer Affairs, the American Health Information Management Association, and Equifax Inc.

Also in 1993-95, Dr. Westin served as Principal Investigator on a 15-month project on privacy issues in the uses of genetic testing and genetic-test applications, funded by the U.S. Department of Energy for the Human Genome Project and its ELSI Program (Ethical, Legal and Social Issues).

In his consulting work, Dr. Westin has recently drafted privacy codes for the Health Data Exchange of Shared Medical Systems; EMX, a new health information service; Equifax's Health Information Sector; and HealthPoint.

#### **8. Overseas and Multinational Activities**

For three decades, Professor Westin has been a keynote speaker at leading business, government, and technology conferences on privacy and data protection in the United Kingdom, Western Europe, Scandinavia, Japan, and Hong Kong. In 1985, for example, NTT of Japan brought Dr. Westin to Tokyo as the Privacy Keynote Speaker at the NTT International Conference on Technology and Society in the Information Age, and Dr. Westin lectured on U.S., European, and Japanese approaches to privacy protection at several Japanese universities and technology institutes.

In 1996, he has spoken at business and government sponsored privacy conferences in Victoria and Ottawa, Canada; London; and Berlin.

**Fall, 1996**

**Opinion Research Corporation**, headquartered in Princeton, New Jersey, was founded in 1938 to apply public opinion polling techniques to business issues. ORC has been a public company since October 1993 (NASDAQ-ORCI).

ORC specializes in the global business-to-business market and addresses for its clients such strategic issues as market definition, corporate equity assessment and customer retention tracking research. ORC's concentration is in the automotive, financial services, health care, information technology/telecommunications, media & leisure and retail trade industries.

In addition, the firm offers a number of proprietary and shared-cost research products. These include BrandPerceptions<sup>SM</sup> and CORPerceptions<sup>SM</sup>, global equity studies conducted among consumers and executives, LeaseBASE<sup>SM</sup>, the first needs and behavior-based study of the automobile leasing market, and NetTrack<sup>SM</sup>, a nationally projectable panel of Internet and online services users available to companies for ad hoc research and product testing.

ORC opened ORC-Asia in 1995 to ensure the standardization of its research across the Pacific Rim. The Company also established ORC-International, a network comprising Affiliate Companies in 23 countries across Latin America, Asia, Europe and the Middle East. Through ORC-International, multinational clients benefit from national expertise regarding the domestic business environment and the appropriate means of national/cultural data collection in each geography. ORC's development of a Global Standard for data collection and analysis ensures that market intelligence is delivered within a consistent architecture that provides cleaner comparisons between diverse markets.

ORC has two central telephone interviewing centers, in Tucson and London, each having 100+ CATI-equipped interviewing stations. All European telephone interviewing is conducted through the London center, which is staffed with native language interviewers. Interviewing is regularly conducted in the Pacific Rim, Europe and the Americas by ORC-International Affiliates. A full complement of data processing, analytic and modeling capabilities are also provided.

Key clients include AT&T, Bell Atlantic, Dean Witter, EDS, General Electric, General Motors, ITT Sheraton, Moody's and PNC Bank.

Offices are located in Princeton, NJ, Chicago, IL, Detroit, MI, Toledo, OH, Tucson, AZ, Washington, DC, Hong Kong and London, England.

Michael R. Cooper is Chairman and CEO. John F. Short is Vice Chairman and CFO.

## Selected Clients

Advanced Care Products  
AETNA Life & Casualty  
AGF  
AIG  
Aircro Distributor Gases  
Alexander Consulting Group  
AlliedSignal  
ALC Communications  
American Medical Association  
American Airlines  
Arthur Andersen & Co.  
Angotti, Thomas, Hedge  
AT&T

BankAmerica  
Barclays Life  
Bell Atlantic  
BellSouth  
Bellcore  
Beltone Electronics  
Beneficial Management  
Bissell  
Blue Cross of California  
BMW of North America  
Boatmen's Bancshares  
Boeing Commercial Airplane  
Group  
Bordon  
Bozell  
Braun  
British Gas  
Brodeur & Partners  
Brown and Powers  
Buick Motors  
*Business Week*  
Burson-Marsteller

Cable & Wireless  
Cadillac Motor Car  
Campbell Soup  
Campbell Mithun Esty  
Carter Wallace

CBS Broadcast Group  
The Chase Manhattan Bank  
Chemical Bank  
Chevrolet Motor  
Chiat/Day Advertising  
Chrysler  
Chrysler Financial  
Church & Dwight  
Citibank  
Clydesdale Bank  
CNBC  
Coca-Cola  
Comcast  
Commercial Union  
Connaught Laboratories  
Coopers & Lybrand  
Cramer Krasselt  
CSX

Data General  
Dataplan  
DDB Needham Worldwide  
Dean Witter, Discover & Co.  
Dorf & Stanton Communications  
Dow Chemical  
DuPont

Eagle Star  
Earle Palmer Brown & Spiro  
Eastman Kodak  
Edelman Public Relations  
Worldwide  
EDS  
ElectroCom Automation, L.P.  
Exxon

Fingerhut Companies  
First Union Bank  
First National Bank of Chicago  
Food Marketing Institute  
Ford of Europe  
*Fortune*

Friends Provident  
Frigidaire  
GE  
Gellman Public Relations  
Gem Star Development  
General Accident Insurance  
General Motors  
Glaxo  
GM Credit Card Division  
Grey Advertising  
GTE  
Guardian Royal Exchange

Hagar Sharp  
Hal Riney Partners  
Harley-Davidson  
Harvard University Graduate  
School of Education  
Hershey Foods  
Heublein  
Hewlett-Packard  
Hexcel  
Hoechst-Roussel  
Pharmaceuticals  
Hoffman-LaRoche  
Hoover  
Horan & Associates  
Hughes Aircraft

IBM  
ICI  
IGD  
*Industry Week*  
*InfoWorld*  
Inside Edition  
Intracorp  
ITT Sheraton

J. Walter Thompson  
Johnson & Johnson  
Johnson & Johnson  
Vistakon Canada

## Selected Clients

Johnson & Johnson  
Vistakon Products  
Joy Technologies

Kellogg  
Ketchum Public Relations  
Key Corporation  
Kidder, Peabody & Company  
Kiwi Brands  
KPMG Peat Marwick

Land-O-Lakes  
Lederle Laboratories Division  
Thomas J. Lipton  
Arthur D. Little  
Lockheed  
LTV  
Lukens

Makovsky & Company  
Marketing Corporation of  
America  
Marks & Spencer  
Marriott Hotels Resorts  
and Suites  
Mars Confectionery  
Maryland Public Television  
Mastercard International  
Mazda Motor  
McCann Erickson  
MCI Communications  
Medtronic  
Meldrum and Fewsmith  
Merrill Lynch & Co.  
Minnesota Star Tribune  
Mona, Meyer, McGrath  
and Gavin  
Money Access Service  
Moody's Investors Service  
Motion Picture Association of  
America  
MTV Networks  
Mullen Advertising

NationsBank  
New Jersey Cable Television  
Association  
New York Stock Exchange  
Nickelodeon  
Norwich Union  
NYNEX

Ogilvy, Adams & Rinehart  
Oldsmobile  
Owens-Corning Fiberglas

Padilla Speer, Beardsley  
Partners & Shevack  
Philips Consumer Electronics  
Phillips Petroleum  
Pirelli Cable  
PNC Bank  
Pontiac Motor  
Porter Novelli  
Portland Holidays  
Prudential Securities  
Public Communications

The Reader's Digest Association  
Revlon Consumer Products  
Rhone-Poulenc Rorer  
Roche Vitamins & Fine  
Chemicals  
RochesterTelephone  
Rockwell International  
Roim  
Ruder-Finn  
Ryder Truck Rental

Saab Cars  
Saatchi & Saatchi  
Saturn  
Schaeffer & Associates  
Schenkein/Sherman Public  
Relations  
SCM Chemicals  
Scott Aviation

Scottish Provident  
The Signature Group  
SmithKline Beecham  
Solar Turbines  
Southern New England  
Telecommunications  
Steelcase  
Summit Marketing  
Communications

TBWA  
Tedel  
Temerlin McClain  
Timex  
Turner Broadcasting Systems

United States Postal Service  
Universal Card Services  
U.S. Bank  
U S WEST  
USA Network

Valley National Bank  
VISA U.S.A.  
Vision Interfaith Satellite  
Network

*The Wall Street Journal*  
Walt Disney  
Warner Home Video  
Warner Lambert  
Weber Group  
Wells Fargo Bank  
The Wharton School of the  
University of Pennsylvania  
Whitehall Laboratories  
Woolworth  
Wrangler

Xerox

Yorkshire Bank

## OPINION RESEARCH CORPORATION

### CARAVAN® INTRODUCTION

CARAVAN is a telephone survey conducted among a national probability sample of 1000 adults 18 years of age and older, living in private households in the continental United States.

Interviewing for CARAVAN® is completed 50 weeks per year, Thursday through Sunday. All data collection efforts take place under the direction of ORC Information Services. ORC's Central Telephone Facility is located in South Plainfield, New Jersey. The core of our telephone center is the interviewers. All ORC interviewers complete an intensive training and test period. Additionally, they attend follow-up training classes that cover advanced screening techniques, in-depth probing and the art of refusal avoidance. Interviewers are continuously supervised, monitored and reviewed in order to maintain the highest quality interviewing standards.

All CARAVAN interviews are conducted using Opinion Research Corporation's computer assisted telephone interviewing (CATI) system. The system is state-of-the-art and offers several distinct advantages such as: full-screen control which allows multi-question screens, fully-programmable help and objection screens to aid interviewing, an extremely flexible telephone number management system and powerful data checking facilities. CATI ensures that interviews are conducted in the most efficient manner and allows interviewers easy response recording. This interviewing method also allows for the most accurate form of data entry by guiding the interviewer through the programmed question flow and by providing on-screen interviewer instructions.

The most advanced probability sampling techniques are employed in the selection of households for telephone interviewing. Opinion Research Corporation utilizes an unrestricted random sampling procedure that controls the amount of serial bias found in systematic sampling to generate its random-digit-dial sample. The sample is fully replicated and stratified by region. Only one interview is conducted per household. All sample numbers selected are subject to up to four attempts to complete an interview.

Completed interviews are weighted by four variables: age, sex, geographic region, and race, to ensure reliable and accurate representation of the total population, 18 years of age and older. The raw data are weighted by a custom designed program which automatically develops a weighting factor for each respondent. Each respondent is assigned a single weight derived from the relationship between the actual proportion of the population with its specific combination of age, sex, geographic characteristics and race and the proportion in our CARAVAN sample that week. Tabular results show both weighted and unweighted bases.

## OPINION RESEARCH CORPORATION

The use of replicable sampling, standardized interviewing procedures and representative weighting provides that all CARAVAN studies are parallel to one another. Thus, CARAVAN usage is appropriate both for point-in-time analysis as well as tracking and trend comparisons.

### CARAVAN Telephone Sampling Methodology

Opinion Research Corporation's national probability telephone sample is an efficient form of random-digit-dialing. The sample is designed to be a simple random sample of telephone households. Unlike published directories, ORC's national probability telephone sample includes both unlisted numbers and numbers issued after publication of the directories. The following procedure is used to create the sample:

- o Opinion Research Corporation has an annual license for GENESYS, a custom RDD sample generation system developed by Marketing Systems Groups.
- o The methodology for generating random digit dialing (RDD) telephone samples in the GENESYS system provides for a single stage, EPSEM (Equal Probability of Selection Method) sample of residential telephone numbers. It is updated twice a year.
- o When a national probability sample is needed, a random selection is made from approximately 40,000 exchanges in two million working banks.
- o Each telephone number is transferred to a separate call record. The record shows the computer-generated telephone number to be called, as well as the county, state, MSA (if applicable), band and time zone into which the telephone number falls. Our computerized interviewing system (CATI) uses this information to keep track of regional quotas. The CATI interviewing program also keeps track of the disposition categories for each call attempt.

## INTRODUCTION

This report presents the findings of a telephone survey conducted among a national probability sample of 1011 adults comprising 504 men and 507 women 18 years of age and older, living in private households in the continental United States.

Interviewing for this CARAVAN® Survey was completed during the period November 14-17, 1996. All data collection efforts took place at Opinion Research Corporation's Central Telephone Facility in Tucson, Arizona. The core of our telephone center is the interviewers. All Opinion Research Corporation's interviewers complete an intensive training and test period. Additionally, they attend follow-up training classes that cover advanced screening techniques, in-depth probing and the art of refusal avoidance. Interviewers are continuously supervised, monitored and reviewed in order to maintain the highest quality interviewing standards.

All CARAVAN interviews are conducted using Opinion Research Corporation's computer assisted telephone interviewing (CATI) system. The system is state-of-the-art and offers several distinct advantages such as: full-screen control which allows multi-question screens, fully-programmable help and objection screens to aid interviewing, an extremely flexible telephone number management system and powerful data checking facilities. CATI ensures that interviews are conducted in the most efficient manner and allows interviewers easy response recording. This interviewing method also allows for the most accurate form of data entry by guiding the interviewer through the programmed question flow and by providing on-screen interviewer instructions.

The most advanced probability sampling techniques are employed in the selection of households for telephone interviewing. Opinion Research Corporation utilizes an unrestricted random sampling procedure that controls the amount of serial bias found in systematic sampling to generate its random-digit-dial sample. The sample is fully replicated and stratified by region. Only one interview is conducted per household. All sample numbers selected are subject to up to four attempts to complete an interview.

Completed interviews are weighted by four variables: age, sex, geographic region, and race, to ensure reliable and accurate representation of the total population, 18 years of age and older. The raw data are weighted by a custom designed program which automatically develops a weighting factor for each respondent. Each respondent is assigned a single weight derived from the relationship between the actual proportion of the population with its specific combination of age, sex, geographic characteristics and race and the proportion in our CARAVAN sample that week. Tabular results show both weighted and unweighted bases.

The use of replicable sampling, standardized interviewing procedures and representative weighting provides that all CARAVAN studies are parallel to one another. Thus, CARAVAN usage is appropriate both for point-in-time analysis as well as tracking and trend comparisons.

Included in the Technical Information which follows are tables of sampling tolerances of survey results, and a copy of the question series as it appeared in the survey questionnaire.

As required by the Code of Standards of the Council of American Survey Research Organizations, we will maintain the anonymity of our respondents. No information will be released that in any way will reveal the identity of a respondent. Our authorization is required for any publication of the research findings or their implications.

Opinion Research Corporation's CARAVAN is a syndicated, shared-cost data collection vehicle. Opinion Research Corporation has exercised its best efforts in the preparation of this information. In any event, Opinion Research Corporation assumes no responsibility for any use which is made of this information or any decisions based upon it.

### **CARAVAN Telephone Sampling Methodology**

Opinion Research Corporation's national probability telephone sample is an efficient form of random-digit-dialing. The sample is designed to be a simple random sample of telephone households. Unlike published directories, Opinion Research Corporation's national probability telephone sample includes both unlisted numbers and numbers issued after publication of the directories. The following procedure was used to create the sample:

- o Opinion Research Corporation has an annual license for GENESYS, a custom RDD sample generation system developed by Marketing Systems Groups.
- o The methodology for generating random digit dialing (RDD) telephone samples in the GENESYS system provides for a single stage, EPSEM (Equal Probability of Selection Method) sample of residential telephone numbers. It is updated twice a year.
- o When a national probability sample is needed, a random selection is made from approximately 40,000 exchanges in two million working banks.
- o Each telephone number is transferred to a separate call record. The record shows the computer-generated telephone number to be called, as well as the county, state, MSA (if applicable), band and time zone into which the telephone number falls. Our computerized interviewing system (CATI) uses this information to keep track of regional quotas. The CATI interviewing program also keeps track of the disposition categories for each call attempt.

## Reliability Of Survey Percentages

Results of any sample are subject to sampling variation. The magnitude of the variation is measurable and is affected by the number of interviews and the level of the percentages expressing the results.

The table below shows the possible sample variation that applies to percentage results reported from Opinion Research Corporation's CARAVAN sample. The chances are 95 in 100 that a CARAVAN survey result does not vary, plus or minus, by more than the indicated number of percentage points from the result that would be obtained if interviews had been conducted with all persons in the universe represented by the sample.

Size of Sample on Which Survey Results Is Based	Approximate Sampling Tolerances Applicable to Percentages At or Near These Levels				
	<u>10% or 90%</u>	<u>20% or 80%</u>	<u>30% or 70%</u>	<u>40% or 60%</u>	<u>50%</u>
1,000 interviews	2%	2%	3%	3%	3%
500 interviews	3%	4%	4%	4%	4%
250 interviews	4%	5%	6%	6%	6%
100 interviews	6%	8%	9%	10%	10%

### Additional Sampling Tolerances for Samples of 1,000 Interviews

<u>9% or 91%</u> 2%	<u>8% or 92%</u> 2%	<u>7% or 93%</u> 2%	<u>6% or 94%</u> 1%	<u>5% or 95%</u> 1%
<u>4% or 96%</u> 1%	<u>3% or 97%</u> 1%	<u>2% or 98%</u> 1%	<u>1% or 99%</u> .2%	

### Sampling Tolerances When Comparing Two Samples

Tolerances are also involved in the comparison of results from independent parts of any one Opinion Research Corporation's CARAVAN sample and in the comparison of results between two independent CARAVAN samples. A difference, in other words, must be of at least a certain number of percentage points to be considered statistically significant. The table below is a guide to the sampling tolerances in percentage points applicable to such comparisons, based on a 95% confidence level.

<u>Size of Samples Compared</u>	<u>Differences Required for Significance At or Near These Percentage Levels</u>				
	<u>10% or 90%</u>	<u>20% or 80%</u>	<u>30% or 70%</u>	<u>40% or 60%</u>	<u>50%</u>
1,000 and 1,000	3%	4%	4%	4%	4%
1,000 and 500	3%	4%	5%	5%	5%
1,000 and 250	4%	6%	6%	7%	7%
1,000 and 100	6%	8%	9%	10%	10%
500 and 500	4%	5%	6%	6%	6%
500 and 250	5%	6%	7%	7%	8%
500 and 100	6%	9%	10%	11%	11%
250 and 250	5%	7%	8%	9%	9%
250 and 100	7%	9%	11%	11%	12%
100 and 100	8%	11%	13%	14%	14%

# Telephone Customer Information Uses And Privacy

A National Public Opinion Survey Conducted by OPINION RESEARCH CORPORATION and Dr. Alan F. Westin, November, 1996\*

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1. Does your household currently have any of the following telephone services? (RECORD AS MANY AS APPLY).

Any listed service asked about _____	68%
Voice mail _____	12%
Caller ID _____	19%
Call waiting _____	48%
Call forwarding _____	12%
Cellular phone service _____	25%
Internet access _____	17%
Personal 800 number service _____	6%
DON'T KNOW; NONE OF THESE _____	32%

2. I will read you a short list of organizations which collect and use information about consumers. On a scale of 1 to 10, HOW MUCH DO YOU TRUST THEM to collect and use information about people like you in a responsible way and protecting its confidentiality. Answering "1" means you do not trust them at all and "10" means you have complete trust in them.

2 A

Health insurance companies

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Do not trust them at all _____	18%
_____	6%
_____	7%
_____	6%
_____	23%
_____	9%
_____	9%
_____	9%
_____	3%
Have complete trust in them _____	7%
DON'T KNOW _____	3%

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\* Sponsored by Pacific Telesis

2 B

Life insurance companies  
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Do not trust them at all _____	19%
_____	7%
_____	7%
_____	6%
_____	21%
_____	8%
_____	10%
_____	8%
_____	3%
Have complete trust in them _____	8%
DONT KNOW _____	3%

2 C

Local telephone companies, like Pacific Bell, Southwestern Bell,  
Bell Atlantic and Bell South  
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Do not trust them at all _____	10%
_____	4%
_____	5%
_____	5%
_____	26%
_____	8%
_____	10%
_____	13%
_____	5%
Have complete trust in them _____	10%
DONT KNOW _____	4%

2 D

Long distance telephone companies, like AT&T, MCI, and Sprint  
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Do not trust them at all _____	15%
_____	6%

_____	6%
_____	7%
_____	22%
_____	8%
_____	10%
_____	11%
_____	3%
Have complete trust in them_____	11%
DON'T KNOW_____	2%

2 E

Employers

Do not trust them at all_____	10%
_____	3%
_____	4%
_____	5%
_____	19%
_____	7%
_____	13%
_____	14%
_____	7%
Have complete trust in them_____	13%
DON'T KNOW_____	4%

2 F

Credit bureaus, like Equifax, TRW, or TransUnion

Do not trust them at all_____	26%
_____	7%
_____	9%
_____	4%
_____	18%
_____	6%
_____	7%
_____	6%
_____	1%

Have complete trust in them _____	4%
DON'T KNOW _____	11%

2 G

\_\_\_\_\_  
**Companies that sell to consumers at homes by direct mail**  
 -----

Do not trust them at all _____	36%
_____	12%
_____	10%
_____	6%
_____	18%
_____	4%
_____	4%
_____	4%
_____	1%
Have complete trust in them _____	3%
DON'T KNOW _____	2%

2 H

\_\_\_\_\_  
**Hospitals**  
 -----

Do not trust them at all _____	10%
_____	4%
_____	5%
_____	6%
_____	19%
_____	7%
_____	12%
_____	15%
_____	8%
Have complete trust in them _____	13%
DON'T KNOW _____	2%

2 I

\_\_\_\_\_  
**Credit card companies like Visa, MasterCard, or American Express**  
 -----

Do not trust them at all _____	19%
--------------------------------	-----

_____	7%
_____	7%
_____	6%
_____	18%
_____	8%
_____	8%
_____	12%
_____	4%
Have complete trust in them _____	8%
DON'T KNOW _____	3%

2 J

Banks offering consumer checking and savings accounts  
-----

Do not trust them at all _____	11%
_____	4%
_____	6%
_____	5%
_____	19%
_____	8%
_____	12%
_____	14%
_____	7%
Have complete trust in them _____	13%
DON'T KNOW _____	1%

2 K

Cable television companies  
-----

Do not trust them at all _____	15%
_____	6%
_____	7%
_____	6%
_____	26%
_____	6%
_____	9%

_____	8%
_____	4%
Have complete trust in them _____	7%
DON'T KNOW _____	6%

2 L

Private investigators

Do not trust them at all _____	28%
_____	7%
_____	7%
_____	5%
_____	18%
_____	4%
_____	5%
_____	5%
_____	2%
Have complete trust in them _____	4%
DON'T KNOW _____	15%

3 Have you ever had the company you use for local telephone service release the personal information they had about you in a way you thought was not proper?

YES _____	9%
NO _____	82%
DON'T KNOW _____	9%

4 In the past year, have you or a member of your household bought something from a mailing such as a catalog or brochure that was sent to your residence or workplace, or not?

YES _____	72%
NO _____	27%
DON'T KNOW _____	1%

5 Have you ever received a notice from a business you used, such as a credit card company, catalog firm, publication, or non-profit organization giving you the opportunity to "opt out" or decline having them give your name and address to other organizations that wanted to send you offers by mail for related products or services?

YES _____	41%
NO _____	57%

DON'T KNOW \_\_\_\_\_ 1%

6. Have you ever checked such an "opt out" yourself, and declined to have such use made of your name and address? (412)

YES \_\_\_\_\_ 62%

NO \_\_\_\_\_ 37%

DON'T KNOW \_\_\_\_\_ 1%

7. When you are a customer of a business--such as a bank, a department store, an insurance company, or a local telephone service--do you consider it acceptable for this business to communicate with you from time to time about new products or services, or special discounts they are offering to their customers that they think may be of interest or benefit to you? Is this... (READ LIST)

Acceptable (very plus somewhat) \_\_\_\_\_ 88%

Very acceptable \_\_\_\_\_ 36%

Somewhat acceptable \_\_\_\_\_ 52%

Not very acceptable \_\_\_\_\_ 5%

Not at all acceptable \_\_\_\_\_ 6%

DON'T KNOW \_\_\_\_\_ 1%

8. Would it become acceptable to you if this company offered you the opportunity to "opt out" or decline to receive information about new products or services, or special discounts and contacted those customers who did NOT "opt out." Would providing such notice and "opt out" make this ...? (READ LIST) (117)

Acceptable (very plus somewhat) \_\_\_\_\_ 42%

Very acceptable \_\_\_\_\_ 21%

Somewhat acceptable \_\_\_\_\_ 21%

Not very acceptable \_\_\_\_\_ 18%

Not at all acceptable \_\_\_\_\_ 36%

DON'T KNOW \_\_\_\_\_ 3%

9. Many new consumer services are being developed by local telephone companies today. These include voice mail, long distance calling plans, cellular telephone service, expanded cable television or home interactive video services. How interested would you be in having your local telephone company inform you about such new services from time to time? Would you say you are... (READ LIST)

Interested (very plus somewhat) \_\_\_\_\_ 64%

Very interested \_\_\_\_\_ 16%

Somewhat interested \_\_\_\_\_ 48%

Not very interested \_\_\_\_\_ 19%

- |                             |     |
|-----------------------------|-----|
| Not at all interested _____ | 17% |
| DON'T KNOW _____            | 0%  |
- 10 When you call your local telephone company to discuss your services, the customer service representative that you speak with normally looks up your billing and account service record. As a result of talking with you and seeing the services you already have, the representative may also want to offer you new services. On that call, do you consider it acceptable for the representative to offer you new services? Would that be...(READ LIST)
- |                                       |     |
|---------------------------------------|-----|
| Acceptable (very plus somewhat) _____ | 69% |
| Very acceptable _____                 | 20% |
| Somewhat acceptable _____             | 48% |
| Not very acceptable _____             | 16% |
| Not at all acceptable _____           | 15% |
| DON'T KNOW _____                      | 1%  |
- 11 Your local telephone company may also look at its customer records to see which of its current customers it thinks would be most interested in, or benefit from hearing about new services. Do you consider it acceptable for your local telephone company to look over customer records for this purpose? Would that be... (READ LIST)
- |                                       |     |
|---------------------------------------|-----|
| Acceptable (very plus somewhat) _____ | 64% |
| Very acceptable _____                 | 15% |
| Somewhat acceptable _____             | 48% |
| Not very acceptable _____             | 19% |
| Not at all acceptable _____           | 17% |
| DON'T KNOW _____                      | 1%  |
- 12 Would it become acceptable to you if your local telephone company offered you the opportunity to "opt out" or decline to have your customer information used to describe new services to you, and then communicated such new services to customers who did not choose to "opt out"? Would that become...(READ LIST) (358)
- |                                       |     |
|---------------------------------------|-----|
| Acceptable (very plus somewhat) _____ | 45% |
| Very acceptable _____                 | 19% |
| Somewhat acceptable _____             | 25% |
| Not very acceptable _____             | 19% |
| Not at all acceptable _____           | 35% |
| DON'T KNOW _____                      | 1%  |
- 13 If your local telephone company provides you with an opportunity to "opt out" or decline to have your customer information used in this way, would you prefer receiving such a notice and "opt out" opportunity in your monthly telephone bill or in a separate mailing to you?
- |                    |     |
|--------------------|-----|
| Monthly bill _____ | 46% |
|--------------------|-----|

Separate mailing _____	51%
DON'T KNOW _____	4%

14 How concerned are you about threats to your personal privacy in America today -- are you very concerned, somewhat concerned, not very concerned, or not concerned at all?

Concerned (very plus somewhat) _____	89%
Very concerned _____	55%
Somewhat concerned _____	13%
Not very concerned _____	8%
Not concerned at all _____	3%
Don't know _____	0%

15. Do you agree or disagree with each of the following statements? Please tell me if you agree strongly, agree somewhat, disagree somewhat, or disagree strongly with each statement.

15A

Consumers have lost all control over HOW personal information about them is circulated and used by companies

Agree (strongly plus somewhat) _____	82%
Agree strongly _____	50%
Agree somewhat _____	32%
Disagree somewhat _____	12%
Disagree strongly _____	5%
DON'T KNOW _____	1%

15 B

Your rights to privacy as a consumer are adequately protected today by law or business practice

Agree (strongly plus somewhat) _____	47%
Agree strongly _____	14%
Agree somewhat _____	33%
Disagree somewhat _____	26%
Disagree strongly _____	26%
DON'T KNOW _____	1%

15 C

• If privacy is to be preserved, the use of computers must be sharply restricted in the future

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Agree (strongly plus somewhat)	72%
Agree strongly	47%
Agree somewhat	25%
Disagree somewhat	14%
Disagree strongly	13%
DON'T KNOW	1%

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