

**Overseas Private Investment Corporation  
Privacy Impact Assessment (PIA)**

**Overview**

**Date of this Submission:** March 14, 2006

**System Owner:** Joe Wozniak, International Economist

**Department:** Office of Investment Policy

**Title of system or information collection:** Self Monitoring Questionnaire (SMQ)

**Is this system or information collection new or is an existing one being modified?** No

**Does this system collect, maintain, and/or disseminate information in identifiable form (IIF)?** Yes

**Identifying Numbers (Use N/A, where appropriate)**

**Unique Project Identifier Number:** 184-20-02-00-01-4200-00-404-139

**System of Records Number:** N/A

**OMB Information Collection Approval Number and Expiration Date:** OPIC-162 (Insurance and Finance Projects) / OMB Collection Approval Number 3420-0019, Exp. 6/30/07; OPIC-217 (Investment Funds' Sub-Projects) / OMB Collection Approval Number OMB# 3420-0023, Exp. 06/30/07

**Other Identifying Number(s):** OPIC-162 (Insurance and Finance Projects) and OPIC-217 (Investment Funds' Sub-Projects)

**Description**

**1. Describe what information is to be collected (e.g., nature and source).**

The Self Monitoring Questionnaire (SMQ) requests from OPIC clients corporate information that is required by OPIC's governing legislation. The information provided in the SMQ allows OPIC to better assess the effects that OPIC-assisted projects have on the U.S. economy and employment, as well as the environment and economic development abroad.

OPIC collects and maintains information about a) the client organization (i.e., information on new investments associated with the OPIC investment fund, insurance contract and/or finance agreement, as well as incremental effects directly related to expansion of existing enterprises insured or financed by OPIC, including, but not limited to: fund/U.S. sponsor, investment estimate, project description, remittance and final destination sales values, human capacity building, private sector development, leveraging impacts, social effects, developmental infrastructure improvements, macroeconomic and institutional effects, and supplier and procurement information); and b) the individual completing the SMQ in relationship to the client organization (i.e., point of contact name, title, phone number, and email address).

The information is obtained from individual representatives of OPIC client organizations. These individuals submit the information electronically via the OPIC web site, or in a text format via email or fax.

**2. Explain why the information is being collected.**

The SMQ aggregates the management information required to effectively and efficiently execute the mission of OPIC's Office of Investment Policy. This includes information enabling OPIC to contact a representative of the client organization to request additional information that would support OPIC's assessment of the effects that OPIC-assisted projects have on the U.S. economy and employment, as well as the environment and economic development abroad.

**3. Describe the intended use of the information, and explain how the data collected are the minimum necessary to accomplish the purpose for this effort.**

OPIC uses the information to assess the effects that OPIC-assisted projects have on the U.S. economy and employment, as well as the environment and economic development abroad. The information in identifiable form (IIF) contained in the SMQ is used by OPIC for client organization point of contact information only. The IIF

contained within the SMQ form and database contains the minimum necessary data elements to retrieve additional information, clarification, or supporting documentation from OPIC client organizations in the course of OPIC's policy review and project monitoring process.

**4. Identify with whom the agency will share the collected information.**

The information is maintained for OPIC internal use. IIF in the system is not disclosed to any party outside of OPIC.

**5. Describe any opportunities individuals have to decline to provide information (i.e., where providing information is voluntary), or to consent to particular uses of the information (other than required or authorized uses), and how individuals can grant consent.**

Submitters are informed of the purposes and uses of the information, and the mandatory nature of the information collection, via annual written notice and electronic notice on the SMQ web form. There is no opportunity to decline to provide the information since responses to the collection of information are mandatory, per the Foreign Assistance Act of 1961, as amended, Section 231(k)(2). There is no general opportunity to consent to particular uses of information because the information contained in the system is required for the purposes of OPIC's investment policy review process.

**6. Describe how the information will be secured (e.g., administrative and technological controls).**

Access is restricted by physical and computer-based access controls. Most SMQ forms are submitted via a secure, web-based form accessible only by entering contract number and userid, both of which are administered by OPIC. Once received by OPIC, hard copy records are maintained in a restricted area and accessed only by authorized OPIC personnel. The system that houses SMQ data is secured within OPIC's local area network, which is in compliance with administrative, technical, and physical security controls commensurate with its level of sensitivity. Persons accessing the system externally are only able to access their own information as described above. Access to the system from within OPIC is strictly limited to employees on a need-to-know basis based on security privileges (username and password). All data are safeguarded in accordance with applicable government-wide guidelines and OPIC's Information Systems Security Program.

**7. Identify whether a system of records is being created under section 552a of Title 5, United States Code (the *Privacy Act*), or identify the existing *Privacy Act* system of records notice under which the records will be maintained.**

No Privacy Act system of records is required for this information collection.

**8. Describe the choices the agency made regarding this IT system or collection of information as a result of performing the PIA.**

Because the system and information collection were in operation at the time the PIA was conducted, OPIC made no choices regarding the IT system or the information collection as a result of performing the PIA. Additionally, OPIC implemented no post-implementation changes to its systems or information collection procedures as a result of performing the PIA.