OMB-3420-0019 (OPIC-162) Exp. 7/31/11

OPIC Self Monitoring Questionnaire

For Finance, Insurance and Investment Funds Projects

Please read the following information carefully. This form requests information from OPIC clients, which is required annually by OPIC's governing legislation. The information provided in this questionnaire will allow OPIC to assess better the impact of OPIC-assisted projects on the U.S. economy, the environment, host country economic development, and workers' rights conditions associated with OPIC-supported investments.

Complete responses to the collection of information in this form are mandatory, per the Foreign Assistance Act of 1961, as amended, Section 231(k)(2). Client information contained in this questionnaire will be deemed as privileged or confidential in accordance with OPIC's Freedom of Information Act (FOIA) regulations (22 CFR part 706) and will be treated as confidential to the extent permitted by the FOIA. An Agency may not conduct or sponsor, and a person is not required to respond to, a request for information unless it displays a valid OMB control number with an expiration date that has not expired.



Instructions:

The Self Monitoring Questionnaire (SMQ) is divided into two sections. Please note that users are required to only complete one section, not both sections.

Section A is to be completed by all OPIC Finance and Insurance projects and by all OPIC Investment Funds and framework agreement/onlending facility subprojects *unless otherwise directed* by OPIC staff from the Office of Investment Policy (OIP).

Section B is to be completed by Financial Intermediary transactions *if directed* by OPIC staff from the Office of Investment Policy (OIP). As such, the term "financial intermediary" refers to, but is not limited to, general lending banks, specialized lending institutions, mortgage facilities, microfinance institutions, private equity funds, and other capital market transactions. *Where available, please provide information for only OPIC-supported activities – not for the institution as a whole.*

The Self Monitoring Questionnaire (SMQ) may be completed online. In order to access the questionnaires, please go to https://www2.opic.gov/smq/login.asp. You will be asked to enter the project type, contract number, and password. The OPIC contract number and passwords are provided annually on the reminder letters sent to you by OPIC staff. If you do not know your contract number and password, please email SMQ@opic.gov and you will be sent the correct contract number and password related to the project. Alternatively, the Self Monitoring Questionnaire may be emailed or faxed to OIP. In this case, please email the Questionnaire to SMQ@opic.gov or fax the SMQ to the following number: 202-408-9859.

Please answer all questions as completely as possible. If space is inadequate, please supply additional information on separate sheets of paper and attach them to this form. For all questions, the terms "Project" and "Financial Intermediary" refer to the <u>new investment</u> associated with the OPIC insurance contract and/or finance agreement identified by number above. If this investment is an expansion of an existing enterprise, or otherwise only part of an enterprise, only the <u>incremental</u> effects directly related to and resulting from the new investment should be provided.

Some questions and bolded terms found in the SMQ may not be familiar to users of the questionnaire. As such, please consult the document entitled, "Guidelines for completing the OPIC Self-Monitoring Questionnaire" as complete instructions and definitions of terms are provided. If you do not have a copy of this document, please email SMQ@opic.gov.

Notice: Public reporting burden for this collecting of information is estimated to average 6.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Agency Forms Officer, Overseas Private Investment Corporation, 1100 New York Avenue, NW, Washington, DC 20527; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

		Sec	ction <i>E</i>	₹ - Pa	rt I: P	roject l	lntorm	iation					
U.S. Investor						•			Contract/Loan #	- 1			
Is your compa	nv a ⊠womar	n-owned bu	siness	s and/	or 🗀 ı	minorit	v-own	ed busin		-			
Foreign			0000	, and	<u>. </u>		<i>y</i>	ou buom	Countr	у			
Enterprise/ Project Name													
Project Description								·					
Original Estim New Investme in Foreign Ent		all Sources	\$				Inve	ount Actu ested in F erprise to	oreign	\$			
Has the probelow:	ject description	changed sir	nce it w	as ori	ginally	approv	ed by	OPIC? If	yes, plea	ase i	indicate the	changes	5
New busi	iness lines				Exite	d marke	ets						
New prod	ducts or services	5			Exite	d produ	ict lines	s or servi	ces				
New inter	rnational marke	ts			Othe	r:	Ī						
2. Has the Pro	oject become op	erational? [Yes	N	lo					_/	/		
If yes, provi	de the date to t	ne right.							day	mo	onth year		
	cify the Project's						ınd	Starting Month/Yr. Ending Month/Yr.			r.		
	Sectio	n A - Pa U.S.				-		elopm estions		an	d		
4. How m	any people are	employed in	the fo	llowing	g cate	gories?							
		Manageria	l			Profes	ssional	/Technica	ıl	Uns	skilled Labor		
Local													
Expatriate													
5. What perce	entage of these	employees l	nas rec	eived	forma	l trainin	g?						
Managerial		ı	Profess	ofessional/Technical		Unskilled Labor							
%			9/	ó				%					
	roject provide tr f training provide		de the	host c	ountry [,]	? If yes	s, pleas	se indicate	e countrie	es	Yes	□ N	0
7. What is the	e percentage of	local owners	ship of	the pr	oject?						g	%	
8. If there is lo	3. If there is local ownership, is the local owner a Small & Medium Enterprise (SME) ?												

	Does the project involve other development finance insindicate which organizations below:	titutions	s (DFIs)? If yes, please	Yes	☐ No		
	Multilateral (e.g. World Bank, IFC):		Regional (e.g. IDB, ADB):				
	Bilateral (e.g. USAID, FMO):	Other:					
	Does the project involve a public-private partnership party is involved below:	? If yes	s, please indicate what type of	Yes	☐ No		
	Local government ministry:		International NGO:				
	Local NGO:	Local NGO: Other:					
	Does the project company have (or will the company ac policy? If yes, please indicate below which bases are c			Yes	☐ No		
	Race		Sex	•			
	Color		Political opinion				
	Religion		National extraction				
	Social origin		Other:				
12.	Are there benefits or policies in place that specifically a workplace? If yes, please indicate below:	address	s the needs of women at the	Yes	☐ No		
	Child care		Maternity leave				
	Non-harassment policies		Other:				
	Upper-level management						
	Does the project benefit a poor (e.g. rural) region of the where below:	host c	ountry? If yes, please indicate	Yes	☐ No		
	Rural region of host country		Poor urban area in host countr	у			
	Does the project extend company benefits to its employ hat apply:	ees? I	f yes, please select all benefits	Yes	☐ No		
	Health coverage		Educational assistance	•	,		
	Daily meals		Bonus or incentive plan				
	Transportation		Private pension plan				
	Housing assistance		Other:				
	Does the project provide benefits to the local communit apply:	y? If y	es, please select all benefits tha	t Ses	☐ No		
	Recreational facilities		Scholarship programs	l			
	Schools		Other:				
	Medical clinics						
	Does the project strengthen the physical, financial, or s If yes, please select from the list of infrastructure impac			Yes	☐ No		
	Water & Sanitation		Health	·			

	Energy		Housing				
	Telecommunications		Food & Nutriti	on			
	Education		Financial Serv	vices			
17. F	\$						
18. How much did the project procure in goods and services from host country suppliers last fiscal year?							
19. C	Yes	□ No					
20. F	Yes	□ No					
21. D	Yes	□ No					
22. Does the project bring new marketing and distribution strategies to the host country? If yes, please explain briefly below.						□ No	
23. Does the project apply new production technologies for the first time? If yes, please explain briefly below.						□No	
24. Does the project market products available for the first time? If yes, please explain briefly below.						□ No	
25. Does the project lower local prices? If yes, please explain briefly below.						□ No	
26. W	/hat is the total value of remittances (dividends, profits	, loans/	interest, royalti	es, etc.) from the p	roject?		
26a.	To the United States			\$			
26b.	To other countries, excluding the U.S. and the Host C	Country	?	\$			
27. V	Vhat was the value of the Project's final destination sal	es to th	ne following:				
(If mu	ultiple product lines, please provide information on each	h produ	ıct on a separa	te sheet.)			
27a.	The Host Country			\$			
27b.	The U.S.			\$			
27c.							

	1.	\$
	2.	\$
	3.	\$
	4. Remaining Sales	\$
28.	Has there been any decrease in the number of U.S. employees of the Project affiliates) producing, processing, and/or supporting goods/services compare the Project? If yes, please explain the reason for the decrease in the space.	able to those of

Section A - Part III: U.S. Supplier and Procurement Information

As indicated on the cover page, the client data you provide is privileged business information that OPIC treats as confidential, to the extent permitted by law. However, it is important for OPIC to be able to demonstrate some of the effects of your project. The historical supplier and procurement information is useful for OPIC to illustrate the specific benefits of your project for the U.S. economy. Unless you provide an attached sheet with a compelling reason why this information should not be made public, OPIC intends to use the information in public statements and releases.

Please check all that apply below Type of Good or Service **Amount Procured** Woman-U.S. Minority-Name of U.S. Supplier Please indicate if used Most Recent Fiscal Year City Stat owned owned small (refurbished) business business business е \$ 100,000 Acme, Inc. Any town NY Widgets \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ Remaining Procurement \$ **Totals**

Section A - Part IV: Environmental Impact Questions

29. Is the project currently in compliance with all conditions in the OPIC contract or consent with respect to environment, health and safety? If no, please describe the areas of non- compliance.	Yes	□ No
30. Has the project been cited or fined for any violation of local or host country environmental, health or safety laws? If yes, please explain briefly below.	Yes	□ No
31. Has the project submitted all OPIC-required reports on environment, health and safety? If yes, please list reports and dates of transmission of the reports.	Yes	□ No
32. Have there been any changes in the design or capacity of the project that result in increased hazards to workers, area residents, or the environment? If yes, please describe briefly below.	Yes	□ No
33. Have any accidents occurred that resulted in loss of human life or material impacts on the environment? If so, describe briefly below.	Yes	□ No

Section A - Part V: Workers' Rights

34. Does the project involve physical construend dates of the construction.	Yes	☐ No			
Starting Month/Yr					
35. Does the project utilize contractors and contractor (s)/subcontractor (s) duties b	Yes	□ No			
36. Are any project workers (including all direct employees and contractors) unionized? If yes, please list the parts of the workforce that are unionized.					No
37. Have there been any strikes at the project site or directly related to the project? If yes, please briefly describe the nature of the strike and list the start and end dates of the strike.					No
38. Are there any workers under 18 years of age? If yes, please briefly describe the duties and age of the youngest worker.					□ No
39. Does the project comply with applicable labor laws and the OPIC worker-related requirements? If no, please briefly describe the non-compliance and whether the issue (s) has been resolved.				Yes	No
Section A - Pa	rt VI: Inve	stor/Representa	ative Certification		
I hereby represent the information provide knowledge, and that I am an authorized r				e best of m	у
Signature:	Date:		Telephone:		
Name and Title:			Email address:		

Section B - Part I: Financial Intermediary Information OPIC Facility/Fund: Is the OPIC Facility/Fund a woman-owned business and/or minority-owned business? Financial Intermediary: Country(s): **OPIC** Participation: \$ \$ **Total Investment Amount:** Project Description: Contract/Loan #: Section B - Part II: Financial Intermediary Profile 1. Type of financial intermediary (FI) organization Microfinance Institution: Non-profit Commercial Bank: Government-owned Microfinance Institution: For-profit Commercial Bank: Private sector Cooperative or Credit Union **Development Bank** Non-Bank Financial Institution (NBFI) Other: 2. How long has the FI been in operation? Years 3. How many new employees did the FI hire to support the increased lending activities made possible by the OPIC loan? Managerial Professional/Technical **Unskilled Labor** Local Expatriate 4. What percentage of these employees has received training? Professional/Technical **Unskilled Labor** Managerial % % % 5. What benefits does the FI provide to its employees? Check all that apply. Medical coverage Transportation Subsidized meal Pension plans Other: Concessional loans No 6. Is the FI involved in any community outreach initiatives? If yes, please indicate below: Yes Recreation facilities Scholarship programs Schools Other: Medical clinics

7		es the FI involve other development finance inst ase indicate below type of DFI and specify the r			Yes	☐ No
	Multil	ateral (e.g. World Bank, IFC):		Regional (e.g. IDB, ADB):		
Bilateral (e.g. USAID, FMO): Other:						
8	3. Is t	he FI involved in any public-private partnersh	ips?	If yes, please indicate below:	Yes	☐ No
Local government ministry: International NGO:						
	Loca	ıl NGO:		Other:		
S). Do	es the FI adhere to the following good corporate	gov	ernance measures? Please check all	I that apply	y.
	Gove	rned by board	Acc	ounting standard used:		
	Regu	lated by:		Local Standard		
	Audit	ed by:		GAAP		
	Rate	d by:		IFRS		
Other: Other:						
		Section B - Part III data from the most recent fiscal year of operat		_	ons:	
10. Value of outstanding loan portfolio						
1	1. Nu	mber of active loans				
1	.2. Nu	mber of active borrowers				
1	.3. Fin	ancial revenue from Ioan portfolio			\$	
1	.4. Av	erage outstanding loan size per borrower			\$	
1	.5. Ma	ximum loan size to a single borrower			\$	
1	.6. Mir	nimum loan size to a single borrower			\$	
17. Median loan size to a single borrower					\$	
18. Percentage of borrowers that are women (or women-managed businesses)						%
1	.9. Ty _l	pe of clients as a percentage of the portfolio				
	%	Micro-entrepreneurs				
	%	Consumers				
	%	Small & Medium Enterprises				
	%	Large Corporations				
	%	Other:				

	Loan tenors as a percentage of the portfolio r commercial lenders]		ge maturity period as a percentage of the or mortgage lenders]
%	< 6 months	%	< 5 years
%	7 – 12 months	%	6 - 10 years
%	13 – 24 months	%	11 - 15 years
%	25 – 36 months:	%	16 – 20 years
%	> 36 months	%	> 20 years
	Purpose of the loans as a percentage of the rtfolio [for commercial lenders].		e of the mortgages as a percentage of the or mortgage lenders].
%	Working capital	%	New mortgages
%	Start-up capital	%	Mortgage refinancing
%	Expansion capital	%	Mortgage-backed securities
%	Equipment purchase	%	Home improvement loans
%	Other:	%	Other:
	Business activities/sectors of borrowers as a rcentage of portfolio [for commercial lenders]	B. Target of mortgage	of mortgages as a percentage of portfolio [for lenders]
%	Manufacturing	%	Low-income homes
%	Agriculture	%	Middle-income homes
%	Construction	%	
		/0	High-income homes
%	Transportation and Communication	%	Residential rental properties
% %	Transportation and Communication Tourism	-	
	'	%	Residential rental properties
%	Tourism	%	Residential rental properties Commercial properties
% %	Tourism Trade/Retail	%	Residential rental properties Commercial properties
% % % %	Tourism Trade/Retail Service	% % %	Residential rental properties Commercial properties Other:
% % % %	Tourism Trade/Retail Service Other:	% % %	Residential rental properties Commercial properties Other:
% % % % 23. Ge	Tourism Trade/Retail Service Other: cographic distribution of borrowers as a percenta	% % %	Residential rental properties Commercial properties Other:
% % % % 23. Ge	Tourism Trade/Retail Service Other: eographic distribution of borrowers as a percenta	% % %	Residential rental properties Commercial properties Other:

Section B - Part IV: Sustainability

	r your latest fiscal year, please provide one or more of the following repayment performance measures that applicable to the FI:				
%	Portfolio At Risk (PAR) Ratio				
%	Write-off Ratio				
%	Other:				
25. Fo	25. For your latest fiscal year, please provide one of the following profitability measures that is applicable to the FI:				
%	Return on Investment				
%	Operational Self-Sufficiency Ratio				

%	Other:				
	Section B. Dor	t V: Environmo	ntal Impact		
	Section B - Par	ι ν. ⊑πνποππе	mai impact		1
re	s the FI currently in compliance with all concespect to environment, health and safety? I compliance.			Yes	☐ No
27. F	ntry environmental,	Yes	☐ No		
28. ⊢ p	Yes	☐ No			
29. Have there been any changes in the design or capacity of the FI that result in increased hazards to workers, area residents, or the environment? If yes, please describe briefly below.					
30. Have any accidents occurred that resulted in loss of human life or material impacts on the environment? If so, describe briefly below.					☐ No
				-	
	Section B - I	Part VI : Worker	s' Rights		
	oes the FI's lending activity involve physica pproximate start and end dates of the cons		s, please list the	Yes	☐ No
	Starting Month/Yr		Ending Month/Yr		
	oes the FI utilize contractors and/or subcor lease briefly describe the contractor (s)/sub			Yes	☐ No
	re any FI workers (including all direct emplo lease list the parts of the workforce that are		s) unionized? If yes,	Yes	☐ No
	ave there been any strikes at the FI? If yes trike and list the start and end dates of the s		ibe the nature of the	Yes	☐ No
	re there any workers under 18 years of age nd age of the youngest worker.	e? If yes, please brief	ly describe the duties	Yes	☐ No
36. Does the FI comply with applicable labor laws and the OPIC worker-related requirements? If no, please briefly describe the non-compliance and whether the issue (s) has been resolved.					☐ No
	Section B- Part VII: Inve	estor/Represei	ntative Certification	on	
	by represent the information provided in ledge, and that I am an authorized repres	this document is c			of my
Signa		Date:	Telephone:		

OPIC-#162

Email address:

Name and title: