

A Federal agency may not conduct or sponsor an information collection subject to the requirements of the Paperwork Reduction Act of 1995 unless the information collection has a currently valid OMB Control Number. The approved OMB Control Number for this information collection is 0625-0276 (expires 11/30/2023). Without this approval, we could not conduct this information collection. Public reporting for this information collection is estimated to be approximately 75 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the information collection. All responses to this information collection are voluntary. Send comments regarding this burden estimate or any other aspect of this information collection, including suggestions for reducing this burden to ITA Paperwork Reduction Act Officer at PRA@trade.gov.

You are receiving a compliance review questionnaire in connection with your participation under the EU-U.S. and/or Swiss-U.S. Privacy Shield Framework(s) (as may be relevant to your organization). Under the EU-U.S. and Swiss-U.S. Privacy Shield Frameworks, the Department of Commerce monitors effective compliance, including through sending questionnaires to participating organizations, to identify issues that may warrant further follow-up action. In particular, such compliance reviews shall take place when: (a) the Department has received specific non-frivolous complaints about an organization's compliance with the Privacy Shield Principles, (b) an organization does not respond satisfactorily to inquiries by the Department for information relating to Privacy Shield, or (c) there is credible information that an organization does not comply with its commitments under Privacy Shield.

Failure to respond to this request within 30 days may be subject to enforcement action by the Federal Trade Commission, the Department of Transportation, or other enforcement authorities.

Compliance Review Questionnaire

- 1) Please confirm that: (i) you are authorized to make representations on behalf of the organization and its covered entities regarding its adherence to the Privacy Shield Principles; (ii) the information submitted to the Department of Commerce for purposes of self-certification, including with regard to personal data received in reliance upon Privacy Shield, is accurate and correct; (iii) you understand that misrepresentations in any information provided to the Department may be actionable under the False Statements Act, 18 U.S.C. § 1001; and (iv) you understand that failure to adhere to the Privacy Shield Principles with regard to such personal data may lead to enforcement actions by the relevant enforcement authority.

- 2) Please provide the following information concerning the organization that self-certified its adherence to the Privacy Shield Principles:
 - a. Organization Name;

 - b. Organization Contact (the individual or office within the organization handling complaints, access requests, and any other issues concerning the organization's compliance with the Privacy Shield Framework(s));

- i. Name;
 - ii. Title;
 - iii. Phone number; and
 - iv. E-mail address
- c. Organization Corporate Officer (the individual certifying the organization's compliance with the Privacy Shield Framework(s));
 - i. Name;
 - ii. Title;
 - iii. Phone number; and
 - iv. E-mail address
- d. Mailing Address

You are receiving this questionnaire with regard to the following matter:

- 3) Has the organization received any individual complaints regarding the matter described above? If it has, please describe when any such complaint was received, how it was handled and the outcome, and provide any relevant documentation.

- 4) Has this matter been presented to an alternative dispute resolution provider, an EU data protection authority (DPA) or the Swiss Federal Data Protection and Information Commissioner? If it has, please describe when it was presented and the outcome, and provide any relevant documentation.

5) Has the organization otherwise reviewed this matter? If it has, please describe when any such review was conducted and the outcome, and provide any relevant documentation.

6) [Potential additional organization or issue-specific questions, if appropriate.]

7) Please provide any additional information or documentation regarding this matter.