

Supporting Statement
Request for Generic Clearance of
Online Reproduction Order Forms for National Archives Records
(OMB Control No. 3095-0064)

1. **Circumstances Making the Collection of Information Necessary:** In accordance with the Government Paperwork Elimination Act (GPEA), 44 U.S.C. 3504, the National Archives and Records Administration (NARA) has taken steps to increase the accessibility of its services by making certain business transactions available to the public using the Internet. NARA is the agency of the Federal government responsible for identifying, preserving, and making available to the public and to the Federal government all forms of government records not restricted by law that have been determined to have sufficient historical, informational, or evidential value to warrant continued preservation. One component of NARA's strategic plan is ready access where essential evidence will be easy to access regardless of where it is or where users are for as long as needed. To that end, NARA offers customers the ability to submit requests for copies (i.e., reproduction orders) of specific archival or records center records made in a specific format. Archival records are records that have been accessioned into the legal custody of NARA, deeded materials in the legal custody of NARA and its Presidential Libraries, and Congressional, Supreme Court, and other historical materials in NARA's physical custody and for which NARA has a formal agreement for their permanent retention. Records center records are Federal records in the custody of NARA records centers.

NARA services a variety of reproduction orders (per the NARA Reproduction Fee Schedule dated October 1, 2005), including:

- ▶ Quoted Reproduction Orders
 - ▶ Paper to paper copies
 - ▶ Record certification
 - ▶ Paper to microfilm copies
 - ▶ NWME Electronic Records Reproductions
- ▶ Non-Quoted Reproduction Orders
 - ▶ Standard orders
 - ▶ Automatic minimum charge orders
 - ▶ Microform Publications (NATF 36; already assigned OMB Control No. 3095-0046)
- ▶ Fixed Fee Orders
 - ▶ Record Center Court File packages (NATF Form 90-93 orders; already assigned OMB Control No. 3095-0063)
 - ▶ NW fixed-fee orders for popular genealogical inquiries (NATF Form 81-86 orders; already assigned OMB Control No. 3095-0027)

Typically, reproduction orders are made by submitting Trust Fund Forms (NATF Series 80 or 90 forms) by mail or in person or by submitting inquiries to archival units by mail, phone, in person, or fax. NARA must obtain specific information (by record type) from the researcher to search for the requested records.

In December, 2003, NARA launched Order Online!, its online ordering mechanism. With the availability of an Internet-based ordering system (Order Online!), NARA has made accessible online certain reproduction order forms (replicas of the NATF Series 80 Forms and the NATF 36). NARA has made available custom order forms for the remaining types of reproduction services, to allow researchers to submit reproduction orders and remit payment electronically.

The information that NARA collects for quoted reproduction orders includes the descriptive information (information necessary to search for the records), payment information (e.g., credit card type, credit card number, and expiration date), customer name, shipping and billing address, and phone number. NARA also offers customers the option of submitting their e-mail address as a means of facilitating communication such as order confirmation, status updates, and issue handling. We also offer the option of expedited shipping.

2. **Purpose and Use of the Information:** NARA uses the collected information to process reproduction orders from submission to delivery, each of which is unique in nature. This involves preparing, pulling, duplicating, packing, and shipping the paper copies; processing order payments; and providing customer support for related issues and customer inquiries.

The information collected on these custom forms is the minimum necessary to service the request (see Appendices A and B for a list of potential data elements). Occasionally, additional information will be collected if known by the customer. Were this information collection not conducted, NARA would be unable to fulfill this part of its GPEA mandate.

3. **Use of Information Technology and Burden Reduction:** Building on the established Order Online! application framework used for non-quoted (microform publications) and fixed fee reproduction services, these customer forms are on Order Online! to allow NARA's researchers to access, complete, and submit reproduction orders electronically.

Reproduction orders received by NARA are flagged for order fulfillment and payment processing using secure order fulfillment and payment processing systems. All information is password protected and accessible only on a "need to know" basis by appropriate NARA staff and contractors. Sensitive information, such as credit card data, is stored in an encrypted format. All data is managed in a controlled environment and is destroyed in accordance with NARA Files Maintenance and Records Disposition Manual (FILES 203, Appendix 18, File Number 1807).

The availability of the enhanced online ordering capability has reduced the public burden associated with identifying available NARA reproduction services, initiating reproduction orders, and remitting payment. Additionally, the capability has improved order processing and, ultimately, has resulted in customers receiving their NARA reproduction orders faster.

4. **Efforts to Identify Duplication and Use of Similar Information:** The information that

must be furnished by the researcher cannot be obtained through similar information already available since each reproduction order is for a unique end product.

5. **Impact on Small Businesses or Other Small Entities:** The collection of this information does not involve small businesses or other small entities.
6. **Consequence of Collecting the Information Less Frequently:** It is not practicable to collect the information on a less frequent basis, as each information collection represents a specific customer order. The online ordering enables customers to order multiple items in one electronic transaction. NARA never initiates this information collection; it only responds to customer demand.
7. **Special Circumstances Relating to the Guidelines of 5 CFR 1320.5:** The information collection will be conducted in a manner consistent with the general information collection guidelines in 5 CFR 1320.5.
8. **Comments in Response to the Federal Register Notice and Efforts to Consult Outside Agency:** NARA has not specifically consulted with persons outside the agency on this information collection, however, a System of Record notice regarding the Order Online! information submission was published in the *Federal Register* on October 21, 2003, for public comment (Volume 68, Number 203, Pages 60121-60124). No comments were received. A *Federal Register* notice for this particular information collection was published on January 28, 2009 (74 FR 4982 and 4983). No comments were received.
9. **Explanation of Any Payment or Gift to Respondents:** There is no provision for any payment or gifts to respondents who access the Order Online! system or submit information for an online reproduction order.
10. **Assurance of Confidentiality Provided to Respondents:** An assurance of confidentiality and security is provided in the privacy statement that is posted on the Archives.gov site and the Order Online! system.
11. **Justification for Sensitive Questions:** Information on issues of a sensitive nature involving persons is not sought. Personal information including name, address, and credit card information (including name and address of cardholder, credit card number, and expiration date) will be collected when a customer chooses to submit an online reproduction order or store it in their user profile. This information is required for order payment, order processing, and merchandise shipment. The credit card information is always encrypted and the user account can only be accessed once the user is authenticated (unique User ID and password) in Order Online!.
12. **Estimates of Hour Burden Including Annualized Hourly Costs:** NARA estimates that information collections issued under the requested generic clearance will impose an average annual burden of 7,587 burden hours on 45,524 respondents based on the past three years

usage.

13. **Estimate of Other Total Annual Cost Burden to Respondents or Recordkeepers:** The estimated cost to each respondent to complete the information collection is \$.83 for non-quoted orders and \$1.67 for quoted orders. We estimate it will take the average respondent 10 minutes to submit a non-quoted reproduction order online and 10 minutes to submit a quoted reproduction order online. Because these requests are normally made for the personal benefit of the requestor, the cost of the respondent's time is valued at \$5.00 per hour, or \$.83 for ten minutes and \$1.67 for 20 minutes.
14. **Annualized Cost to the Federal Government:** The annual cost to the Federal Government for collection and use of the information from members of the public who choose to submit reproduction orders online from NARA is estimated to be \$90,000. This includes approximately \$25,000 paid to a contractor to administer the system and 1,200 hours of NARA staff time for process management and information analysis at the GS-12 level. No cost was assigned to the staff time required to respond to a request because this is a core function of the National Archives.
15. **Explanation of Program Changes or Adjustments:** There is an increase in burden. This was a new information collection three years ago and NARA only estimated the number of respondents. NARA is basing the current number of respondents and annual burden hours on the last three years usage.
16. **Plans for Tabulation and Publication and Project Time Schedule:** The information collection is not be used for statistical studies or publications.
17. **Reason(s) Display of OMB Expiration Date is Inappropriate:** The online reproduction order forms under the generic clearance will display the expiration date for OMB approval of the information collection.
18. **Exceptions to Certification for Paperwork Reduction Act Submissions:** There are no exceptions to the certification statement identified in Item 19, "Certification for Paperwork Reduction Act Submissions", of OMB Form 83-1 for this proposed information collection.

Appendix A: Collections for Non-Quoted Orders

Common Data Elements (across multiple reproduction order types)
First Name

<p>Middle Name or Initial Last Name Name of Spouse Country of Origin City and/or County of Residence Month/Day of Birth (MM/DD) Date of Birth (MM/DD/YYYY) Year of Death Citizenship Place of Birth (City, County, State, etc.) Place of Death (City, County, State, etc.) Age Sex City County (at the Time of Naturalization) State Street Address (at the Time of Naturalization) Street Certified Copies Alternate Name(s) or Spelling(s) Additional Information (e.g., alternate spellings) or Comments</p>

Naturalization Records Data Elements
<p>State in Which the Naturalization Occurred City (at the Time of Naturalization) Date Range Date of Naturalization Last Name (as it appears on the petition) First Name (as it appears on the petition) Other Names Used Date of Arrival in the United States Name of Issuing Court Petition Number Volume Page</p>

WWI Draft Cards Data Elements
<p>Occupation Name of Spouse or Nearest Living Relative</p>

Prison Records Data Elements
<p>Institution Inmate Registration Number</p>

Dawes Rolls Data Elements
English (Last, First, Middle) or Indian Name Tribe Affiliation Enrollee Number Census Card Number

Headstone Applications or Burial Records Data Elements
State of Burial

Navy Muster Rolls Data Elements
Ship of Duty Date of Record (last day of the month of the quarter) Sailor Rating Date of his Present Enlistment Place of Enlistment Place Transferred, Discharged, or Died

Missing Aircrew Reports Data Elements
MACR Number Date of Loss Aircraft Tail Serial Number Group

Approved Southern Claims Data Elements
State in Which the Claim was Filed County in Which the Claim was Filed Status of the Claim Office if Disallowed Report Number if Disallowed Claim Amount Allowed Amount Nature of the Claim Commission Claim Number

Billing & Shipping Information Data Elements
Shipping Method Shipping Account #

Appendix B: Proposed Collections for Quoted Orders

Quoted Orders Data Elements
Name(s) of Interest Date(s) of Interest

Place(s) of Interest
Organization(s) of Interest
Event(s) of Interest
Product(s) of Interest