

## SUPPORTING STATEMENT

### Generic Clearance of Customer Service Surveys

*(File No. OMB-9)*

OMB No. 1615-0077

#### **A. Justification:**

1. As mandated by Executive Order (E.O.) 12862 and in response to the requirements of the Government Performance and Results Act (GPRA), U.S. Citizenship and Immigration Services (USCIS) will conduct a number of surveys (both qualitative and quantitative) designed to determine the kind and quality of services our customers want and expect, their level of satisfaction with our existing services, and the type of services which they project may be required within a 3 to 5 year time frame. According to instructions from the Office of Management and Budget (OMB), these surveys will be limited to data collections that solicit strictly voluntary opinions, and will not collect information that is required or regulated.
  
2. USCIS will conduct various customer satisfaction activities to meet the requirements of E.O. 12862, to provide improved services, and to enhance our strategic planning capabilities. The information collected will be used by USCIS to determine where and to what extent services need to be improved or developed. These surveys may lead to policy changes to enhance or streamline the overall operations of USCIS and to modify its strategic planning objectives and/or customer service standards.

The USCIS will conduct various surveys, focus groups, and stakeholder sessions of customers, primarily at ports of entry, Headquarters or field offices, business locations, on the telephone, or through Web surveys and mailings. USCIS will be seeking customer feedback on issues, which include:

- Information and forms for immigration benefits and publications distributed by USCIS related to incorporation of new immigrants;

- Applications for USCIS employment;
- Applications for temporary or permanent residency, adjustment of status, waivers, entry/reentry, refugee travel documents, or naturalization; customers who seek information telephonically; persons who are verified electronically through USCIS programs
- Activities related to Federal, state or local agency verification of citizenship and immigration status, adjudicative, legislative, or benefit related responsibilities as they pertain to immigration matters;
- Large and small business concerns regarding adjudications of applications for workers and verification of status and participation in USCIS electronic employment verification programs;
- Activities within USCIS processing centers, Headquarters, regional, district, or specialized USCIS offices, and temporary or permanent posts of duty; and
- Service provided by staff of the USCIS, including those involved in verification, adjudicative, or administrative services.

Information contained thus far under the Generic Clearance Request has been used to identify areas of operation in need of procedural improvement, to re-engineer program efforts, and to initiate and assess customer satisfaction and effectiveness of pilot and new program endeavors to aid in improving overall performance.

3. Efforts to incorporate the use of electronic, automated, or other mechanical collection of information will be considered for each survey conducted under this generic clearance in order to reduce burden on the public.
4. USCIS has a central review and approval process for all surveys, which prevents duplication. A review of USCIS Forms Inventory Report revealed no duplication of effort, and there is no other similar information currently available that can be used for these purposes.

5. This collection does not have an impact on small businesses or other small entities.
6. This is the only way the USCIS has of carrying out the requirements of the E.O. 12862 aimed at improving services and ensuring that customer input is part of our Strategic Planning effort (GPRA).

These activities will provide our baseline and follow-up data to assist in identifying problem areas and services. They will also allow USCIS to better identify and assess key areas in which to make customer service improvements, and the degree to which improvements are needed. This request will also allow USCIS to conduct the appropriate type and number of surveys to make the necessary determinations of the quality of our customer service delivery.

The consequences of doing less would most probably equate to non-compliance with E.O. 12862 and result in USCIS' inability to most effectively perform its strategic planning effort under GPRA, including efforts that will allow us to address customer concerns related to both current immigration activities as well as emerging trends.

7. It is expected that there will be situations under this Generic Clearance Request in which respondents will be asked to return survey instruments within 30 days of receipt. The purpose of such requests would be to ensure that all responses are obtained in a timely fashion, thus allowing USCIS or its contractor(s) to assess the survey results and provide complete and timely analysis of the data. Responses to all collections under this generic clearance are voluntary, thus any individual who is not able to provide a response within the requested time period is not obligated to do so.
8. On September 18, 2007, OMB approved the Generic Clearance for 3 years until September 30, 2010. Since USCIS is only adding a survey instrument to this clearance USCIS did not publish a 60-day notice requesting comments from the public.

9. USCIS does not usually provide payments or gifts to respondents in exchange for responding to a survey under this generic clearance. However, on occasion, USCIS, through a contractor may offer a small remuneration to survey respondents to maximize response rates and defray the cost of participation when the survey requires significant time to complete.
  
10. Individuals and organizations contacted will be assured of the confidentiality of their replies under 42 U.S.C.1306, 20 CFR 401 and 422, 5 U.S.C. 552 (Freedom of Information Act), 5 U.S.C. 552a (Privacy Act) and OMB Circular No. A-130. The respondent is informed that their responses are voluntary and will be kept confidential and not shared with persons other than those working on the survey, and that their information will be used or published only with aggregate information from other respondents.
  
11. The USCIS does not anticipate including any questions of a sensitive nature in any of the surveys conducted under this generic clearance. The only exception that may be made regarding persons applying for USCIS employment is that involving a general question concerning the identification of one's status relative to a disability. In such a case, it would be necessary to solicit this information in order to assess and improve the DHS' human resources or service delivery efforts. Such questions would be in accordance with those allowed under 5 U.S.C. 7201.

12. Estimated Annual Reporting Burden:

(a) The following Customer Satisfaction Survey has already been approved by OMB.

Customer Service Survey

a. Number of Respondents	15,000
b. Number of Responses per Respondent	1
c. Total Annual Response	15,000
d. Hours per Response	.50

e. Total Annual Reporting Burden 7,500

(b) The following www.uscis.gov Information Gathering Project is new. See attached document.

	<u>Focus Group</u>	<u>Card Sorting</u>	<u>Usability Test</u>
a. Number of Respondents	10	150	10
b. Number of Responses per Respondent	3	1	2
c. Total Annual Response	30	150	20
d. Hours per Response	1	.50	1
e. Total Annual Reporting Burden	30	75	20

**Total annual reporting burden hours are 7,625**

(a) Customer Service Survey: This figure was derived by multiplying the number of respondents (15,000) x frequency of response (1) x hours per response 30 minutes (.50) = 7,500 annual burden hours.

(b) www.uscis.gov Information Gathering Project: This figure was derived by compiling the annual reporting burden from all three portions of this project.

- The focus group figure was derived by multiplying the number of respondents per session (10) x the number of sessions (3) x frequency of response (1) x hours per response (1) = 30 annual burden hours.
- The card sorting figure was derived by multiplying the number of respondents (150) x frequency of response (1) x hours per response (0.5) = 75 annual burden hours..
- The usability figure was derived by multiplying the number of respondents per

session (10) x the number of sessions (2) x frequency of response (1) x hours per response (1) = 20 annual burden hours.

13. There are no capital or start-up costs associated with the information collections under this generic clearance. Any cost burdens to respondents as a result of this collection are identified in item 14. There is no fee associated with this collection of this information.

14. **Annualized Cost Analysis:**

(a) Customer Service Survey

Printing Cost	\$	13,410
Collecting and Processing		586,590
Total Cost to Program		600,000
Fee Charge		0
Total Annual Cost to Government	\$	600,000

(b) www.uscis.gov Information Gathering Project

Federal Salaries and Expenses	\$	8,496
Total Cost to Program		8,496
Fee Charge		0
Total Annual Cost to Government	\$	8,496

**The estimated cost of the program to the Government is \$608,496**

(a) Customer Service Survey: This figure is calculated by multiplying the estimated number of respondents (15,000) multiplied by number of responses (1) multiplied by 1 hour per response (Time required to collect and process the information) multiplied by \$40 (suggested average hourly rate for clerical, officer, and managerial time with benefits). In addition, this figure includes the estimated overhead cost for printing, stocking, and distributing the survey which is \$13,410.

(b) www.uscis.gov Information Gathering Project: This figure was derived by compiling the annual estimated cost from all three portions of this project.

- The focus group figure was derived by multiplying the number of federal employees facilitating each session (3) x (1) hour per session x \$40 (suggested average hourly rate for clerical, officer, and managerial time with benefits); plus the number of respondents per session (10) x the number of sessions (3) x the number of responses (1) x (1) hour per response (time required to process the information) x \$40 (suggested average hourly rate for clerical, officer, and managerial time with benefits) = \$1,320.
- The card sorting figure was derived by multiplying 24 hours (time required to collect and process the information) x \$40 (suggested average hourly rate for clerical, officer, and managerial time with benefits) = \$960.
- The usability figure was derived by multiplying the number of sessions (2) x total hours of each session (1) x the number of federal employees facilitating each session (2) x \$40 (suggested average hourly rate for clerical, officer, and managerial time with benefits); plus the number of respondents (10) x the number of sessions (2) x the number of responses (1) x (1) hour per response (time required to collect and process the information) multiplied x \$40 (suggested average hourly rate for clerical, officer, and managerial time with benefits) = \$800.
- The estimated overhead cost for travel associated with the remote focus group session = \$4,260.
- The cost of software for the on-line usability and card sorting exercises = \$1,156.

**The estimated cost to the Public is \$77,255.**

(a) Customer Service Survey: This figure is calculated by multiplying the number of respondents 15,000 x the number of responses (1) x 30 minutes to complete (.50) x \$10 an hour, for a total of \$75,000.

(b) [www.uscis.gov](http://www.uscis.gov) Information Gathering Project: This figure was derived by compiling the annual reporting burden from all three portions of this project and multiplying it by \$18.04 per hour (standard estimate used for participant's wage), for a total of \$2,255.

- The focus group figure was derived by multiplying the number of respondents per session (10) x the number of sessions (3) x frequency of response (1) x hours per response (1) x \$18.04 per hour = \$542.
- The card sorting figure was derived by multiplying the number of respondents (150) x frequency of response (1) x hours per response (0.50) x \$18.04 per hour = \$1,353.
- The usability figure was derived by multiplying the number of respondents per session (10) x the number of sessions (2) x frequency of response (1) x hours per response (1) x \$18.04 per hour = \$360.

15. There has been an increase of 125 hours in the estimated burden hours previously reported for this information collection. This can be attributed to the new [www.uscis.gov](http://www.uscis.gov) Information Gathering Project.

16. The USCIS expects to publish the results of any new survey findings insofar as this data will be used in the conduct of the agency's Strategic Planning exercises or provide input for larger program improvements. Contractor support will be employed to collect and tabulate the results of surveys conducted. The USCIS does not release raw data but does release consolidated tabulations of statistical data showing survey results and further uses this aggregated information in the formulation of recommendations for planning and program improvement purposes. As new surveys are developed which will use statistical methods, responses to questions 1 through 5 of this section will be provided, along with specific information for that particular activity, including survey instruments. Upon completion of the analysis of data, results of the survey activities will

be provided.

17. All surveys conducted under this generic clearance will display the OMB Clearance Number. Those surveys conducted telephonically will include a reference to OMB approval of the survey.
18. The USCIS does not request an exception to the certification of this information collection.

**B. Collection of Information Employing Statistical Methods.**

The USCIS or its designated contractor(s), may employ statistical methods with this Generic Clearance. As new surveys are developed which will use statistical methods, responses to questions 1 through 5 of this section will be provided, along with specific information for that particular activity, including survey instruments. Upon completion of the analysis of data, results of the survey activities will be provided.

**C. Certification and Signature.**

**PAPERWORK CERTIFICATION**

In submitting this request for OMB approval, I certify that the requirements of the Privacy Act and OMB directives have been complied with including paperwork regulations, statistical standards or directives, and any other information policy directives promulgated under 5 CFR 1320.

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**Date**

Chief,  
Regulatory Products Division,  
U.S. Citizenship and Immigration Services.