

SUPPORTING STATEMENT
Order Forms for Genealogical Research in the National Archives
NATF Forms 84, 85, and 86
(OMB Control No. 3095-0027)

1. **Circumstances Making the Collection of Information Necessary.** The National Archives and Records Administration (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.

Records are normally used in the various research rooms operated within the National Archives system (36 CFR 1254.1 - 1254.52). In order to accommodate those researchers who cannot visit the appropriate research room in order to view certain original records, NARA offers limited provisions to obtain reproductions of records by mail or through online ordering and requires paper requests to be made on prescribed forms for certain bodies of records.

The National Archives Trust Fund (NATF) Forms 81, 82, and 83 are used by researchers of all kinds to obtain reproductions of pages of Ship Passenger Arrival Records, Federal population census schedules through the 1930 census, and Eastern Cherokee Applications of the U.S. Court of Claims, 1906-1909.^{1 & 2}

NATF Forms 84, 85, and 86 are not considered voluntary commercial transactions, but require verification or proof that the requester meets certain credentials, and are used by researchers of all kinds to obtain reproductions of pages of Federal land entry case files in the National Archives of the United States, reproductions (or selected documents from the file if voluminous) of military service files, pension application files, and bounty land files more than 75 years old.

NARA receives orders either via the mail as paper orders or via the Internet through its online ordering system, where individuals can enter their requests in a guided format. Table 1-1 shows the number of orders NARA received for each Form 80-series product in FY 2013 via the two methods.

Form	Paper	Online	Total
84	193	1,150	1,343
85	1,371	4,713	6,084
86	1,220	4,878	6,098
TOTALS	2,784	10,741	13,525

Table 1-1 NARA Order Summary, FY 2013

NARA sent a change request for these three (3) forms to OMB in June 2008. In the “Method of Payment Preferred and Your Shipping Address (Required)”, Section C., of these six NATF 84-86, the following verbiage has been changed: Day Time Phone (Required for Credit Card Orders): now reads: Day Time Phone (Required); and email Address (Optional): now reads:

¹ These three (3) NATF Forms (81, 82, and 83) are voluntary commercial transactions, and as such, are not covered under the PRA and are being removed from this information collection.

²

http://www.whitehouse.gov/sites/default/files/omb/assets/inforeg/SocialMediaGuidance_04072010.pdf

email Address (Preferred). There were no changes in number of respondents or burden hours with this change.

Additionally, the instructions for these three (3) NATF 84-86 have been revised to make the forms available as .PDF on the web. The web address has been updated. Fees have changed on all three forms.

NARA sent a change request for these 6 forms to OMB in November 2008. These changes were made on all 3 forms: 1) "copies/photocopies" changed to reproduction(s); 2) routing address changed from "NWCTB" to "NWCT1F"; 3) "60 to 90 days" changed to "up to 90"; and 4) "CD/DVD" option added and extra verbiage "a certified copy cannot be generated of an order on CD/DVD" as there is now a Certification check box on forms.

NARA sent a change request for these 3 forms to OMB in July 2015. These changes were made on all 3 forms: On all three forms, these changes have been made:

- 1 - The *Bill Me* option has been removed.
- 2 - Our *Return Policy* was added.
- 3 - A new delivery option is being implemented: *electronic transfer*.
- 4 - Revised date has been changed.
- 5 - *Instructions for Completing this Form* have been updated.

NARA sent a change request for these 3 forms to OMB in February 2016. This change was made on all 3 forms to the RETURN POLICY: Due to various factors, it is occasionally difficult for NARA to make a legible reproduction. Customers will be notified and asked for approval to proceed in these cases if NARA anticipates a reproduction of questionable legibility. NARA does not provide refunds except in special cases. If a customer requests a refund, a review is made of the order to determine if the customer was properly notified of the questionable nature of the original and if the product is a true representation of the original. If the product is a true representation of the original, no refund will be issued. If you feel your order has been processed incorrectly or contains errors, please contact NARA within 120 days of your order date to have your issue verified. Once verified, NARA will correct the issue and resend the documents. If the error cannot be corrected you will receive a refund.

For comparison sake, the RETURN POLICY on the 07-2015 version of these forms stated: Due to the age, original media type, and general condition of many of the items in NARA's holdings, it is occasionally difficult to make a legible reproduction. NARA staff will notify customers if they anticipate that the original will result in a reproduction of questionable legibility before requesting the reproduction and after approval of the customer. After a records reproduction is completed, the product undergoes a review to determine if it is an accurate representation of the original item. Because of the preapproval process, NARA does not provide refunds except in special cases. If a customer requests a refund, a review is made of the order to determine if the customer was properly notified of the questionable nature of the original and if the product is a true representation of the original. If the customer authorized proceeding and the product is a true representation of the original, no refund will be issued.

2. **Purpose and Use of the Information.** Each NATF Form (84, 85, 86) is used for a unique request as part of a two-step process: (1) to search for the requested file and, if found, make copies; and (2) to bill the requesting researcher for the copies of the records when the search is successful. Copies are mailed after photocopies are made. Table 2-1 shows the percent of successful searches for orders received on paper forms and those received via online ordering. The increased success rate for orders received from online ordering is believed to be due to the enforced edit checks of the online system and better legibility of the data input.

Form	Paper	Online
84	94.8%	96.1%
85	70.9%	83.1%
86	75.5%	82.4%

Table 2-1 Percent of Form 80 Series Orders Found

The information collected by the NATF Forms 84, 85, and 86 is the minimum necessary to service the request. Additional helpful information is collected if known by the researcher. Were this information collection not conducted, NARA would be unable to fulfill this part of its mandate in a timely, equitable, and efficient manner.

3. **Use of Information Technology and Burden Reduction.** These forms are available through NARA’s online ordering system (<https://eservices.archives.gov/orderonline>) where individuals can complete the forms and order the copies. They will also be posted as .pdf files on NARA’s website (www.archives.gov).
4. **Efforts to Identify Duplication and Use of Similar Information.** NARA is unaware of any duplication. This information is collected only by the NATF Forms 84, 85, or 86 when the respondent wants NARA to make a copy of land entry files, military records, and pension application files, and bounty land files. The information that must be furnished cannot be obtained through similar information already available as each request is unique.
5. **Impact on Small Businesses or Other Small Entities.** The collection of the information does not involve small businesses or other small entities.
6. **Consequences of Collecting the Information Less Frequently.** The information collection cannot be conducted less frequently since it occurs only when copies of passenger arrival lists, census records, or Cherokee Indian Applications, land entry case files, military records, and pension application files, and bounty land files are requested from NARA. 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 is conducted in a manner consistent with the guidelines in 5 CFR 1320.5.
8. **Comments in Response to the Federal Register Notice and Efforts to Consult Outside Agency.** We have consulted in the past with members of the Federation of Genealogical Societies and have complied with their need to obtain sufficient blank forms.

Additionally, a *Federal Register* notice was published to solicit public comment on April 9, 2014 (79 FR 19656 and 19657). No comment(s) were received.

9. **Explanation of Any Payment or Gift to Respondents.** No payment or gift is provided to respondents for this information.
10. **Assurance of Confidentiality Provided to Respondents.** The records series formed by this information collection is a Privacy Act system (NARA-2 and NARA-25) and is also protected under b(4) and b(6) exemptions of the Freedom of Information Act.
11. **Justification for Sensitive Questions.** No questions of a sensitive or private nature are asked. The form does allow the respondent to provide credit card information, which is considered financially sensitive information. Only the original copy of the form contains this information, which is either returned to the respondent if the reply is negative, or filed in secure file cabinets in the Cashier's office if the respondent is billed. Information received through online ordering is handled in accordance with applicable computer security requirements.
12. **Estimates of Hour Burden Including Annualized Hourly Costs.** The burden per response is estimated to be ten (10) minutes to read the instructions and fill out the form for either the paper form or online ordering form. (The response time was calculated by consultation with a few potential respondents.) Table 11-1 displays estimates of the annualized burden for completing the forms.

Form	Paper Requests	Burden Hrs	Online Requests	Burden Hrs	Total Burden Hrs
84	193	32	1,150	192	224
85	1,371	228	4,713	786	1,014
86	1,220	203	4,878	813	1,016
TOTALS	2,874	464	10,741	1,790	2,254

Table 11-1 NATF Form 80 Series Burden Hours, FY 2013

13. **Estimate of Other Total Annual Cost Burden to Respondents or Recordkeepers.** Individuals submitting paper orders have the option of paying by credit card or requesting to be invoiced if their search is successful. If they choose to pay by credit cards, their order is mailed immediately. If they choose the "Bill Me" option, they are mailed an invoice with their order, which is mailed immediately. Respondents can either contact NATF customer service with a credit card or submit their payment by mail. It is estimated that the average burden to respondents for this effort is 10 minutes. Table 11 - 1 displays the anticipated annualized burden hours to respondents for submitting payments in response to the "Bill Me" invoice. Postage is an additional \$0.44 to \$0.87 depending on whether records were located for which the customer must mail payment. This burden does not pertain to online ordering customers as they must provide a credit card number when they submit their order.

Form	Total Paper	"Bill Me" Only	Burden Hrs
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84	183	94	16
85	972	663	111
86	921	570	95
TOTALS	2,076	1,327	221

Table 12-1 Annual Burden for “Bill Me” Customers

14. **Annualized Cost to the Federal Government.** There is no annualized cost to the Federal Government. These forms are in PDF format and are placed on NARA’s website for downloading and printing.
15. **Explanation for Program Changes or Adjustments.** There was a decrease in the number of respondents as NATF Forms 81, 82, and 83, were removed from this Information Collection Request. Those three NATF Forms – 81, 82, and 83 – are voluntary commercial transactions and not subject to the Paperwork Reduction Act (PRA). (See footnote 1 on page 1.)
16. **Plans for Tabulation and Publication and Project Time Schedule.** The information collection is not used for statistical studies or publications.
17. **Reason(s) Display of OMB Expiration Date is Inappropriate.** The expiration date for OMB approval of this information collection will be displayed on the forms.
18. **Exceptions to Certification for Paperwork Reduction Act Submissions.** There are no exceptions to the certification statement identified in Item 19 of OMB Form 83-I, “Certification for Paperwork Reduction Submissions.”