

# **SUPPORTING STATEMENT FOR PAPERWORK REDUCTION ACT SUBMISSION**

## **Statement of Non-Receipt of a U.S. Passport OMB Number 1405-0146 DS-86**

### **A. JUSTIFICATION**

1. The Statement of Non-Receipt of a U.S. Passport, Form DS-0086, is used by the U.S. Department of State to collect information for the purpose of issuing a replacement passport to customers who have not received the passport products for which they originally applied.

The Secretary of State is authorized to issue U.S. passports under 22 U.S.C. § 211a et seq, 8 U.S.C. § 1104, and Executive Order 11295 (August 5, 1966). Pursuant to 22 C.F.R. § 51.2, only U.S. nationals may be issued a U.S. passport.

2. The information collected on the DS-86 is used by the Department of State to help ensure that no person shall bear more than one valid U.S. passport book and passport card at any one time, except as authorized by the Department. The information on the form is also used to combat passport fraud and misuse.

The DS-86 is retained in the files of the U.S. Department of State as a record attesting to the adjudication of citizenship of passport applicants, and the subsequent issuance of their passports. These records are consulted when a U.S. passport has been lost and the bearer has no evidence of citizenship available or in support of derivative claim to citizenship made by an applicant's children. Consular personnel, in the event of emergency abroad involving U.S. nationals, may also consult the records. Information from the DS-86 may also be shared with other Federal agencies on a need-to-know basis when personnel from those agencies may lawfully be given access to such information.

The DS-86 becomes part of the applicant's passport file, which is covered by the Privacy Act. The information contained in this file cannot be released except as provided by the Privacy Act and Freedom of Information Act, or where otherwise authorized by law.

3. Currently, the DS-86 is posted on the Department's website, <http://www.travel.state.gov>, where applicants can complete the form online and print it for manual signature and submission.
4. Aside from necessary basic self-identification data, the information requested does not duplicate information available elsewhere. The DS-86 is the sole U.S. Department of State form used by applicants who have not received passport products for which they originally applied.

5. The collection of information may have a minimal impact on small businesses and other small entities if the small business representative is required to travel overseas for business. A passport is generally needed for overseas activities, and to return to the United States.
6. The information cannot be collected less frequently, as it must be collected whenever a passport product is not received by an applicant. Eliminating this collection would impede prompt re-issuance of passports to applicants when the original passport product is not received.
7. No such special circumstances exist.
8. The Department published a notice in the Federal Register on March 15, 2017 (82 FR 13915) soliciting public comments and received one comment stating in part:

I think we need much more investigation when this goes on and people think they can easily get another passport. The fact is they sell them on the black market for thousands of dollars to those who want to claim to be in the US legally. So that we need people who allegedly “lose” to come into the office and to be asked some investigatory questions. (*sic*)

To combat the potential fraudulent use of the DS-86, once a DS-86 is requested or submitted, the Department immediately invalidates the previously issued passport so it may not be used. In addition, the Department limits the use of the DS-86 form to 90 days from when the passport was issued. Individuals who report lost or stolen passports outside the 90 day window will need to appear in-person and complete a DS-64, Statement Regarding a Lost or Stolen Passport, and a DS-11, Application for a U.S. Passport.

9. This information collection does not provide any payment or gift to respondents.
10. This form includes a Privacy Act statement explaining the routine uses of the information collected under the Act. There are no promises of confidentiality to the respondents other than those contained in federal statutes and regulations
11. The DS-86 does not ask questions of a sensitive nature. The DS-86 collection of information asks the applicant to provide a Social Security number to assist in establishing and verifying the applicant’s identity. The applicant’s identity must be established before a passport can be issued.
12. Passport Services estimates that approximately 15,330 individuals will complete the form, and that the average time required for this information collection is 15 minutes or 0.25 hour per response. Therefore, the estimated total annual burden for this collection is:

15,330 (number of respondents) x 0.25 (hours) = **3,833** hours per year.

The estimated number of minutes required per response is based on a sampling of the time required to search existing data sources, gather the necessary information, provide the information required, make photocopies of the front and back side of the applicant's identification document, review the final collection, and submit the collection to Passport Services for processing.

To estimate the cost to respondents for this form based on the hourly wage and weighted wage multiplier, the Department calculated the following:

\$23.23 (mean hourly earnings based on estimated income per hour from the Bureau of Labor Statistics) x 1.4 (weighted wage multiplier) = **\$32.52** weighted wage

3,833 (annual hours) x \$32.52 (weighted wage) = **\$124,649** (hour burden cost)

13. To properly complete and submit a DS-86, "Statement of Non-Receipt of a U.S. Passport" application, an applicant must submit a clear photocopy of the front and back side of an original government issued identification document containing his/her photograph, as specified in the "Important Notice" section on page 1.

The estimated cost of a black and white copy is based on a quote from a FedEx Office. It is estimated that 50% of the applicants will have access to a photocopy machine at no cost, while the other 50% will require travel to a local business to make the photocopies of their identification document.

The cost for postage is not included in the cost to the applicant as the Department offers to pay for postage. Once an applicant reports a non-receipt of a passport by contacting the Department (generally through the National Passport Information Center), the Department mails the applicant a DS-86, along with a pre-addressed return envelope to allow the applicant to return the form and any additional documents without having to pay for postage.

There is no application fee associated with this collection. When combining the estimated cost burdens associated with the DS-86, the total annual cost burden for the percentage of applicants outlined in the table below (0.50 probability of incurring a cost for copying fee) is **\$3,373**.

Identity Proof - Black & White Copy (7,665 = 0.50 of total applicants/year) (2 @ \$0.22 each)	x	\$ 0.44	=	\$3,373
<b>Total Cost to Respondents</b>				<b>\$3,373</b>

14. Annualized Cost Analysis

1. Printing Cost	\$229.95
<b>Total Cost to the Program</b>	<b>\$229.95</b>

This was calculated as follows: 15,330 (number of applicants per year) for FY 2017-2019 at a cost of \$15.00 per thousand equals (15,330 x 15.00/1,000) \$229.95 per year.

15. The hour burden adjustment reflects a slight increase in the number of projected respondents from 15,005 (previous FYs 2015 – 2016) to 15,330 (average of FYs 2017-2019).

The yearly projected numbers of applicants are based on demand forecast numbers from statistical models and historical trends of form usage. The primary driver for form usage is the demand forecast for each fiscal year. The next two fiscal year forecasts are updated on an annual basis so that each forecast uses the most recent, relevant data to project future demand. Given that projected passport application (DS-11) demand is the primary driver for form usage, as shown below in the table, the DS-86 is expected to correlate with the DS-11 application estimate through FY 2019 as shown in the projections table below.

	<b>Projections</b>		
<b>Fiscal Year</b>	<b>FY17</b>	<b>FY18</b>	<b>FY19</b>
<b>Passport Applications (DS-11)</b>	<b>9,765,773</b>	<b>9,674,039</b>	<b>10,063,573</b>
<b>DS-86</b>	<b>15,224</b>	<b>15,080</b>	<b>15,687</b>

In addition to general format changes, the following content changes have been made to the form:

- Page 1, Form – Added explanation box requesting applicants to indicate what steps they’ve taken in order to locate their passport product(s).
- Page 1, Form – Added two sections to verify whether the documentary evidence submitted with the original application was returned to the applicant. If not, asked the applicant to describe missing documents.
- Page 1, Form – Added a prompt prior to oath stating: “You must sign and date the application in the designated area below”.
- Page 1, Form – Under “Passport Office Use Only”, “Place issued” was replaced with “Issuing Office”.
- Page 2, Form – “How to Use this Form” section was updated to include the operating hours of the National Passport Information Center and to direct applicants to contact the Center for information on how to submit the form.

- Page 2, Form – Privacy Act Statement has been revised to include the FAST Act requirement, requiring that applicants provide their Social Security number on the passport application form.
- Page 2, Form – Paperwork Reduction Act Statement was updated to include the new office and mailing address.

16. Quantitative summaries of Department of State passport activities are published periodically on the Department of State website at [www.travel.state.gov](http://www.travel.state.gov). Such summaries do not involve use of complex analytical techniques.

17. Expiration date for OMB approval will be displayed.

18. The Department is not requesting any exceptions to the certification statement.

**B. COLLECTION OF INFORMATION EMPLOYING STATISTICAL METHODS**

This collection does not employ statistical methods.