

SUPPORTING STATEMENT FOR PAPERWORK REDUCTION ACT SUBMISSION

Statement of Non-Receipt of a U.S. Passport OMB No. 1405-0146 Form DS-86

A. JUSTIFICATION

1. *Why is this collection necessary and what are the legal statutes that allow this?*

The Statement of Non-Receipt of a U.S. Passport (Form DS-86) is used by the U.S. Department of State to collect information for the purpose of issuing a replacement passport to applicants whose passport applications have been approved but who have not received their passport documents in the mail. 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 and, unless authorized by the Department, no person may bear more than one valid passport of the same type. Form DS-86 therefore seeks information to ensure the applicant entitled to a U.S. passport has not received the passport(s) already issued and mailed by the Department.

2. *What business purpose is the information gathered going to be used for?*

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

Form DS-86 is retained in the files of the U.S. Department of State as a record attesting to an applicant's non-receipt of a U.S. passport or passports after the approval of the applicant's passport application and the Department's subsequent issuance and mailing of a U.S. passport to the applicant. Information from Form DS-86 may also be shared with other federal agencies on a need-to-know basis. Personnel from those agencies may lawfully be given access to such information. Form 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 and Freedom of Information Acts.

3. *Is this collection able to be completed electronically (e.g. through a website or application)?*

Form DS-86 is currently available online as a printable PDF at travel.state.gov. Applicants can complete the form online and print it for manual signature and submission.

4. *Does this collection duplicate any other collection of information?*

Aside from necessary basic self-identification data, the information requested does not duplicate information collected elsewhere. Form DS-86 is the sole U.S. Department of State form used by applicants whose passport applications have been approved but who have not received their passport documents in the mail.

5. *Describe any impacts on small business.*

Form DS-86 does not significantly impact small businesses or other small entities.

6. *What are consequences if this collection is not done?*

The information collected on Form DS-86 is crucial to establishing whether to issue a replacement passport. The information cannot be collected less frequently, as it must be collected whenever an applicant whose passport application has been approved has not received their U.S. passport in the mail. Eliminating this collection would impede prompt re-issuance of passports to such applicants.

7. *Are there any special collection circumstances?*

No such special circumstances exist.

8. *Document publication or intent to publish a request for public comments in the Federal Register.*

The Department of State published a 60-day notice in the Federal Register to solicit public comments on August 14, 2023 (Public Notice: 12117). No comments were received.

9. *Are payments or gifts given to the respondent?*

This information collection does not provide any payment or gift to applicants.

10. *Describe assurances of privacy/confidentiality.*

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 applicant other than those contained in federal statutes and regulations.

11. *Are any questions of a sensitive nature asked?*

Form DS-86 asks questions of a sensitive nature. Form DS-86 asks for the applicant's 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 (or re-issued).

12. *Describe the hour time burden and the hour cost burden on the respondent needed to complete this collection.*

The Department does not collect data on the amount of DS-86 forms received, so we must rely on the amount of passports issued with endorsement 47 (indicating a reissued passport) when calculating the projected annual amount. Although passports can be reissued for other

reasons outside of non-receipt (data corrections, name change within one year of issuance, or extending validity of limited passports) this is still considered our best source of data. The data collected on reissued passports is not separated into categories based on the reason for the reissue, so we recognize that our projections are overestimated.

From FY 2020-2022, 52,794 passports were reissued and included endorsement 47. Therefore, the **projected average annual number of respondents using Form DS-86 over the next three years is 18,260.**

Passport Services estimates that the average time required for this information collection is 15 minutes per response. The estimated **total annual respondent hour time burden is 4,565 hours.**

$(18,260 \text{ annual respondents} \times 15 \text{ minutes} / 60 = 4,565 \text{ hours per year})$

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 the Department for processing.

The estimated cost to respondents is based on the civilian hourly wage from the Bureau of Labor Statistics website multiplied by the annual hour time burden. The wage is estimated to be \$28.01. The Department used the Employer Costs for Employee Compensation released by the Bureau of Labor Statistics in 2021.ⁱ The estimated **total annual respondent hour cost burden is \$127,866.**

$(4,565 \text{ annual hours} \times \$28.01 \text{ civilian hourly wage} = \$127,866)$

13. *Describe the monetary burden to respondents (out of pocket costs) needed to complete this collection.*

There is no fee associated with this collection. To properly complete and submit a Form DS-86, a respondent must submit a clear photocopy of the front and back of their valid government-issued photo identification. The estimated cost of a black and white copy is \$0.19/page and is based on a quote from FedEx.ⁱⁱ

Since form DS-86 is usually submitted by mail, the applicant will have to pay for postage to return the form and any additional documents. Once received, the form DS-86 is matched by the passport agency to the previously submitted application.

Therefore, we estimate the **total annual respondent monetary burden is \$18,443:**

Document	Total respondents/year		Cost		Total
Proof of Identity Black & White Photocopy of Front and Back	18,260	x	\$0.38 (2 @ \$0.19 each)	=	\$6,939
Postage	18,260	x	\$0.63 ⁱⁱⁱ	=	\$11,504
Total Monetary Burden to Respondents					\$18,443

14. Describe the cost incurred by the federal government to complete this collection.

Adjudication cost:

To calculate the cost to the federal government, we consider the hourly wage for an FY 2023 domestic Civil Service GS-11 step 10 (the highest level of a passport adjudicator) of \$36.95^{iv} with a weighted wage rate multiplier:

$$\$36.95 \times 2 = \$73.90$$

As suggested by the Office of Management and Budget, we use two as the weighted wage rate multiplier since Department of State employees have access to many resources.

Passport Services estimates that reviewing Form DS-86 requires 21 seconds of a passport adjudicator's time, or 0.35 minutes. Dividing \$73.90/hr. by 60 minutes yields a processing time cost of \$1.23 per minute. \$1.23 multiplied by 0.35 yields a cost of \$0.43 to review each form. Multiplying the projected number of applicants (18,260) by \$0.43 yields \$7,852. The estimated **total annual adjudication cost is \$7,852.**

Printing Cost:

Form DS-86 will be produced by a contractor with cost-plus-fixed-fee line items for material and/or supply purchases. The estimate provided to the Department by the contractor includes costs for contractor labor, supplies, equipment, printing materials, delivery, overhead, support staff, etc. The current cost is \$30.63 per 1000 forms^v. Based on the projected number of 18,260 respondents per year, at a cost of \$30.63 per thousand, the estimated **total annual printing cost is \$559.**

Federal Register Notice:

The estimated amount to publish one Federal Register Notice (FRN) is \$795. A 60-day FRN and a 30-day FRN is published with a **total cost to the federal government of \$1,590.**

Cost to Federal Government

Time and expense to adjudicate the form	18,260 x \$0.43 =	\$7,852
Cost to print the form	18,260 x 30.63 =	\$559
Cost to publish two Federal Register Notices (FRN)	2 x \$795 =	\$1,590.00
Total Cost to Federal Government		\$10,001

15. *Explain any changes/adjustments to this collection since the previous submission.*

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

Page 2, Mailing Address Section: Added a "Current Mailing Address" section below existing "Mailing Address" section

Page 2: Added new language above applicant signature block: "REMINDER: You must submit a clear photocopy of the front and back of your valid government-issued photo identification"

16. *Specify if the data gathered by this collection will be published.*

Quantitative summaries of Department of State passport activities are published periodically on the Department of State website at travel.state.gov. Such summaries do not involve use of complex analytical techniques.

17. *If applicable, explain the reason(s) for seeking approval to not display the OMB expiration date.*

Expiration date for OMB approval will be displayed.

18. *Explain any exceptions to the OMB certification statement below.*

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.

ⁱ Source: Bureau of Labor Statistics, “Employer Costs for Employee Compensation – May 2021,” https://www.bls.gov/oes/current/oes_nat.htm#00-0000

ⁱⁱ Source: FedEx Office, <https://www.fedex.com/en-us/office.html>

ⁱⁱⁱ Source: United States Postal Service, “Mailing & Shipping Prices,” <https://www.usps.com/business/prices.htm>

^{iv} Source: Office of Personnel Management, “Pay & Leave,” <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/2023/general-schedule>

^v Source: Passport forms printing contractor, Occam Solutions