

**SUPPORTING STATEMENT FOR  
Application for Naturalization  
OMB Control No.: 1615-0052  
COLLECTION INSTRUMENT(S): N-400**

**A. Justification**

- 1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.**

As allowed by 8 U.S.C. § 1421, U.S. Citizenship and Immigration Services (USCIS) provides for immigrants to apply for naturalization (see 8 CFR 316.4). USCIS uses Form N-400 as the basis to determine whether the applicant is eligible for U.S. citizenship.

- 2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.**

Form N-400, Applicant for Naturalization, is an application for Naturalization (citizenship), assisting USCIS's mission of helping people become U.S. citizens. Naturalization is the process by which U.S. citizenship is granted to a foreign citizen or national after he or she fulfills the requirements established by Congress in the Immigration and Nationality Act (INA). Generally, to be eligible for naturalization the applicant must:

- Be age 18 or older;
- Be a permanent resident for a certain amount of time (usually 5 years but less for some individuals);
- Be a person of good moral character;
- Have a basic knowledge of U.S. history and government;
- Have a period of continuous residence and physical presence in the United States; and
- Be able to read, write, and speak basic English – there are exceptions to this rule for someone who:
  - Has a permanent physical or mental impairment that makes the individual unable to fulfill these requirements;
  - Is 55 years old and has been a permanent resident for at least 15 years; or
  - Is 50 years old and has been a permanent resident for at least 20 years.

The information collected via the N-400 will be used to determine if the respondent meets all of the criteria for qualifying to be naturalized and becoming a U.S. citizen. Most of the questions are required by statute and/or regulations. If any issues arise, the agency would be able to further investigate in an attempt to resolve the question.

3. **Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.**

Form N-400 is currently available online from USCIS at <http://www.uscis.gov/files/form/n-400.pdf>. The form presently must be returned via mail, but USCIS is working towards the goal of allowing all applicable forms to be returned electronically, which the N-400 is to be a part of this effort. No current date is yet available for conversion to fully electronic responses. USCIS is enhancing its highest volume forms with Adobe Fillable format features and the addition of two dimensional (2D) barcode technology. When a form is completed electronically, these features will help reduce errors and increase the efficiency of intake and adjudication. As a customer completes a 2D barcode form electronically, a barcode at the bottom of the form captures the data. Once completed, the customer prints and signs the form and mails it to USCIS with supporting documentation. When the filing location is a Lockbox facility, the information in the barcode is scanned and uploaded to Lockbox and USCIS systems. This change will improve data quality, speed application intake, reduce rejections, and keep processing costs to a minimum. The introduction of barcode technology increase the length of the form but ultimately will reduce actual burden for completing it.

4. **Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above.**

A review of the USCIS Forms Inventory Report revealed no duplication of effort, and there is no other similar information currently available that can be used for this purpose.

The N-400 collects information necessary for USCIS to make a final determination of the respondent's suitability for naturalization. The questions asked are specific to the requirements set forth in regulation, and are unique to this process.

5. **If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-I), describe any methods used to minimize burden.**

The collection of information does not have an impact on small businesses or other small entities.

6. **Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.**

The information collected on the Form N-400 is essential to documenting whether the applicant has met all the eligibility requirements for naturalization. If the information collection is not conducted, USCIS would not be able to determine if an applicant's eligibility requirements for naturalization were met, nor would adjudication officers be able to conduct a meaningful adjudication interview.

7. **Explain any special circumstances that would cause an information collection to be conducted in a manner:**

- **Requiring respondents to report information to the agency more often than quarterly;**
- **Requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;**
- **Requiring respondents to submit more than an original and two copies of any document;**
- **Requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records for more than three years;**
- **In connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;**
- **Requiring the use of a statistical data classification that has not been reviewed and approved by OMB;**
- **That includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or**
- **Requiring respondents to submit proprietary trade secret, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.**

This information collection is conducted in a manner consistent with the guidelines in 5 CFR 1320.5(d)(2).

8. **If applicable, provide a copy and identify the data and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.**

On XXXX XX, 20XX USCIS published a 60-day notice in the Federal Register at XX FR XXXXX. USCIS did/did not receive comments after publishing that notice. On XXXXX XX, 20XX, USCIS published a 30-day notice in the Federal Register at XX FR XXXXX. USCIS did/did not receive comments.

9. **Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.**

USCIS does not provide payments or gifts to respondents in exchange for a benefit sought by respondents.

10. **Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation or agency policy.**

There is no assurance of confidentiality. The associated system of records notice for this information collection is USCIS Benefits Information System, which was published in the Federal Register on September 29, 2008 at 73 FR 56596. The related privacy impact assessment is USCIS Benefits Processing of Applicants other than Petitions for Naturalization, Refugee Status, and Asylum.

11. **Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.**

There are no questions of a sensitive nature.

12. **Provide estimates of the hour burden of the collection of information. The statement should:**

- **Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of**

potential respondents is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden, and explain the reasons for the variance. Generally, estimates should not include burden hours for customary and usual business practices.

- If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens in Item 13 of OMB Form 83-I.
- Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included in Item 14.

Type of Respondent	Form Name / Form Number	No. of Respondents	No. of Responses per Respondent	Avg. Burden per Response (in hours)	Total Annual Burden (in hours)	Avg. Hourly Wage Rate	Total Annual Respondent Cost
Individuals or households	Application for Naturalization / N-400	764,450	1	6.917	5,287,701	\$30.44	\$160,957,607.79
Individuals or households	Biometric Processing	764,450	2	1.17	1,788,813	\$30.44	\$54,451,468
<b>Total</b>		<b>764,450</b>			<b>7,076,514</b>		<b>\$215,409,076</b>

The above Average Hourly Wage Rate is calculated from the [May 2011 Bureau of Labor Statistics](#) average wage for “All Occupations” of \$21.74 times the wage rate benefit multiplier of 1.4 equaling \$30.44. The occupation “All Occupations” has been chosen as there is no single occupation of worker targeted by this collection of information; a respondent can be of any occupation.

**NOTES ON BURDEN:**

Translations. Respondents might incur burden for translations of documents in foreign

*languages. USCIS is currently evaluating the estimated burden associated with this activity. USCIS will seek comments on how long this requires and provide estimates in its next submission to OMB based on the results of public comments it receives and information that can be found from other resources.*

*Preparers. Respondents may hire third parties for form completion so there may be a burden for a preparer to assist in the form completion process. USCIS will request public comment on burden required for preparers on the preparation and submission of this form. USCIS will include the results of the public comments and its own analysis in the next submission following this emergency request.*

- 13. Provide an estimate of the total annual cost burden to respondents or record keepers resulting from the collection of information. (Do not include the cost of any hour burden shown in Items 12 and 14).**
- **The cost estimate should be split into two components: (a) a total capital and start-up cost component (annualized over its expected useful life); and (b) a total operation and maintenance and purchase of services component. The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the information. Include descriptions of methods used to estimate major cost factors including system and technology acquisition, expected useful life of capital equipment, the discount rate(s), and the time period over which costs will be incurred. Capital and start-up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record storage facilities.**
  - **If cost estimates are expected to vary widely, agencies should present ranges of cost burdens and explain the reasons for the variance. The cost of purchasing or contracting out information collection services should be a part of this cost burden estimate. In developing cost burden estimates, agencies may consult with a sample of respondents (fewer than 10), utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate.**
  - **Generally, estimates should not include purchases of equipment or services, or portions thereof, made: (1) prior to October 1, 1995; (2) to achieve regulatory compliance with requirements not associated with the information collection; (3) for reasons other than to provide information or keep records for the government; or, (4) as part of customary and usual business or private practices.**

There are no capital or start-up costs associated with this information collection.

*For informational purposes, there is a \$595 fee associated with the filing of this information collection, and a biometrics fee of \$85.*

- 14. Provide estimates of annualized cost to the Federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information. Agencies also may aggregate cost estimates from Items 12, 13, and 14 in a single table.**

**Annualized Cost Analysis:**

a.	Printing Cost	\$ 60,000
b.	Collecting and Processing Cost	<u>\$ 519,826,000</u>
c.	<b>Total Cost to Government</b>	<b>\$ 519,886,000</b>

**Government Cost**

The estimated cost of the program to the Government is calculated by using the estimated number of adult respondents (764,450) x \$595 (which includes the suggested average hourly rate for clerical, officer, and managerial time with benefits, plus a percent for the estimated overhead cost for stocking, distributing and processing of this form) = \$454,847,750; plus 764,450 x \$85 (for capturing biometric information in connection with an application for naturalization) = \$64,978,250.

- 15. Explain the reasons for any program changes or adjustments reporting in Items 13 or 14 of the OMB Form 83-I.**

Data collection Activity/Instrument	Program Change (hours currently on OMB Inventory)	Program Change (New)	Difference	Adjustment (hours currently on OMB Inventory)	Adjustment (New)	Difference
N-400				4,253,545	5,287,701	1,034,156
Biometric Processing				0	1,788,813	1,788,813
<b>Total(s)</b>				<b>4,253,545</b>	<b>7,076,514</b>	<b>2,822,969</b>

There has been an increase in the annual hour burden for the form N-400 due to a better

estimate in the number of respondents who will file the form. There is also an increase in the total annual hour burden for the collection due to the reporting of the burden for the biometric processing that was not previously reported. As stated earlier, the form and instructions have increased in length, but the burden has not increased substantially as a result of or in direct correlation to the added size or text on the form or its physical length. USCIS is specifically requesting public comments on the burden imposed by changes made to the previous version of the Form N-400.

There are changes to the N-400 form and instructions, which are detailed on the separate table of changes for both documents.

- 16. For collections of information whose results will be published, outline plans for tabulation, and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.**

This information collection will not be published for statistical purposes.

- 17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.**

USCIS will display the expiration date for OMB approval of this information collection.

- 18. Explain each exception to the certification statement identified in Item 19, "Certification for Paperwork Reduction Act Submission," of OMB 83-I.**

USCIS does not request an exception to the certification of this information collection.

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

There is no statistical methodology involved with this collection.