

**Supporting Statement For
National 800 Number - Claims Status
20 CFR 401.45
OMB No. 0960-NEW**

A. Justification

1. The Social Security Administration (SSA) collects this information by authority of the *Privacy Act of 1974* at 5 U.S.C. 552A (e)(10) which requires agencies to establish appropriate administrative, technical, and physical safeguards to insure the security and confidentiality of records. Also in the same Sub-section, 5 U.S.C. 552A (f) (2)&(3) requires agencies to establish requirements for identifying an individual who requests a record or information pertaining to that individual and to establish procedures for disclosure of personal information. SSA promulgated Privacy Act rules in the *Code of Federal Regulations, Subpart B*. Procedures for verifying identity are at 20 CFR 401.45. Authority to collect this information is also contained in Section 205(a) of the *Social Security Act*.
2. SSA has established a process for authenticating the information of individuals who use the automated telephone services or speak to an agent to request information from SSA records. Prior to SSA responding to requests for personal information through the automated telephone services, we must authenticate the requester's information by obtaining the appropriate identification elements. Answers to these questions are then compared to information contained in our records. Respondents are current Social Security beneficiaries.

SSA has established a process for authenticating the information of individuals who use the Internet Claims Status function of the Internet Social Security Benefit Application (ISBA) to check the status of their Social Security claim. The automated telephone version of this process will ask callers for their Social Security Number (SSN), Date of Birth (DOB) and an 8-digit Confirmation Number. (The Confirmation Number is generated as part of the ISBA process, as well as when applicants file a claim at an SSA office.)

Based upon the information provided, SSA systems will determine the type of claim(s) the caller filed. Subsequently, the automated telephone system will provide callers the option to choose which claim they wish to obtain status. For instance, the caller may have applied for one or multiple types of benefits (for example Retirement Insurance Benefit (RIB)/Disability Insurance Benefit or RIB/Spouse of a Retired Worker Benefit). If the caller applied for multiple claims, the automated system will allow the caller to select which claim he/she would like to obtain status.

Once callers select the claim(s) they are calling about, an automated voice will advise them of the status of their claim. The automated responses are limited to one or some combination of the following six possibilities:

- We cannot process your request at this time,
 - We are waiting for your original documents,
 - We have not made a decision on your application,
 - We have made a decision on your claim,
 - We are reviewing the medical portion of your claim, or
 - We are currently processing your claim.
3. The Internet version of this automated collection process is covered under OMB number 0960-0618. The requester keys in identifying information, transmits it over the Internet to SSA, and the information is compared to existing electronic records in real time. If the information keyed matches with SSA records, the requester is allowed to proceed to additional screens to make his/her specific request.

The automated telephone version follows a similar process to the Internet version. However, the primary difference between the Internet and automated telephone version is that the telephone version asks callers to provide their DOB. This question was added to maximize the use of SSA's authentication process.

4. The information collected through the automated telephone service has already been collected and/or provided by SSA and posted to SSA's master electronic records, but is being asked again for comparison and authentication. There currently is no existing alternative means of SSA's authenticating the caller's identity and providing the information when the request is user-initiated over the telephone.
5. This collection does not impact a substantial number of small businesses or other small entities.
6. Failure to be able to authenticate the caller's information would result in SSA's not being able to respond to these requests. Since the information is only requested on an as needed basis (when the individual requests information either via the Internet or the telephone), it cannot be collected less frequently. There are no technical or legal obstacles that prevent burden reduction.
7. There are no special circumstances that would cause this information collection to be conducted in a manner that is not consistent with 5 CFR 1320.5.
8. The 60-day advance Federal Register Notice was published on June 13, 2007 at 72 FR 32697, and SSA has received no public comments. The second Notice was published on September 20, 2007 at 72 FR 58303. There have been no outside consultations with members of the public.
9. SSA provides no payment or gifts to the respondents.

10. The information requested is protected and held confidential in accordance with 42 U.S.C. 1306, 20 CFR 401 and 402, 5 U.S.C. 552 (Freedom of Information Act), 5 U.S.C. 552a (Privacy Act of 1974) and OMB Circular No. A-130. The information collected is protected by the Privacy Act of 1974. Our automated telephone services privacy policy is:

- We collect personally identifiable information only if specifically and knowingly provided by you.
- Personally identifying information you provide will be used only in conjunction with services you request as described at the point of collection.
- We do not give, sell, or transfer any personal information to a third party.

Additionally, SSA will ensure the confidentiality of the requester's personal information in several ways:

- All electronic requests will be encrypted.
- They will be advised of alternative methods of requesting personal information, i.e., a personal visit to a field office or a transfer to an 800 number agent.

Only upon authentication of information will the individual be allowed access to personal information from SSA.

11. The information collection does not contain any questions of a sensitive nature.

12. We estimate that 704,422 callers annually will use the automated telephone service to obtain claims status and that it will take 1 minute to answer the questions, resulting in an annual reporting burden of 11,740 burden hours. The total burden is reflected as burden hours, and no separate cost burden has been calculated.

13. There is no known cost burden to the respondents.

14. The annual cost to the Federal Government is approximately \$100,212. This estimate is a projection of the costs for maintaining the automated telephone service. The initial contractor development cost is approximately \$543,530.

15. This is a new information collection that will increase program burden.

16. The results of the information collection will not be published.

17. We are not requesting an exception to the requirement to display an expiration date.

18. SSA is not requesting an exception to the certification requirements at 5 CFR 1320.9 and related provisions at 5 CFR 1320.8(b)(3).

B. Collection of Information Employing Statistical Methods

Statistical methods are not used for this information collection.