Supporting Statement For
Application Status
20 CFR 401.45
OMB No. 0960-0763

A.   Justification

1. **Introduction/Authoring Laws and Regulations**
    The Social Security Administration (SSA) collects this information by authority of the Privacy Act of 1974 at *5 U.S.C. 552A (e)(10)* of the *United States Code. 5 U.S.C. 552A (e)(10)* requires agencies to establish appropriate administrative, technical, and physical safeguards to ensure 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 for verifying identity in *20 CFR 401.45* of the *Code of Federal Regulations.* We also established the authority to collect this information in Section *205(a)* of the *Social Security Act*.

2. **Description of Collection**
    Application Status provides users with the capability to check the status of their pending Social Security claims either via the Internet or the National 800 Number Automated Telephone Service. The Application Status shows users when SSA received their application; if SSA requested additional documents (e.g., Military Discharge papers, W-2s, birth records, etc.); and provides the address for the office that is processing their application. Once SSA makes a decision on a claim, we make a copy of the decision notice available for the user to view online, with the exception of some claims that individuals did not file via the Internet and for which SSA may not make the notices available for online review. For instance, we exclude disability denial notices from this functionality.

    SSA established a process for authenticating the information of individuals who use the Application Status function to check the status of their Social Security claim. The automated telephone version of this process asks callers for their Social Security Number (SSN), Date of Birth (DOB), and an 8-digit confirmation number. The Internet Application Status Information (IAPS) application requires users to enter their SSN and 8-digit confirmation number. The Confirmation Number is generated as part of the iClaim process, as well as when applicants file a claim at an SSA office.

    For the automated telephone version, SSA systems determine the type of claim(s) the caller filed based upon the information provided. Subsequently, the automated telephone system provides callers with the option to choose the claim for which 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 allows 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 advises them of the status of their claim. The automated responses are limited to one or some combination of the following possibilities:

- A decision has been made on your claim. You will receive the decision by U.S. mail,
- A decision has not been made on your claim.
- The Disability Determination Service in your state is processing the medical portion of your claim,
- As of today, a decision has not been made on your reconsideration request,
- As of today, a decision has not been made on your request for a Federal Reviewing Official Review,
- As of today, the Office of Disability Adjudication and Review has not made a decision on your appeal request,
- We are waiting for your original documents,
- Due to systems problems, we are unable to process your request at this time, cannot process your request at this time,
- I'm sorry, but the system is unavailable at this time or
- We are sorry; we are unable to process your request.

The IAPS Internet application will display options to select either the "Retirement Benefits Application Status" or the "Disability Benefits Application Status" following the collection of the SSN and 8-digit confirmation number. Users of the IAPS application may see screens providing the following status information:

- Awaiting Receipt of Proofs
- A Decision Has Not Been Made On Your Claim
- A Decision Has Been Made On Your Claim
- Medical or Appeal Decision Outstanding
- Your Application is Being Processed

The respondents are applicants applying for Social Security benefits.

3. **Use of Information Technology to Collect the Information**
   The Internet and Automated Telephone applications are compliant with the agency's Government Paperwork Elimination Act plan in that the application process is 100% electronic.

   The Internet version of this automated collection process allows the requester to key in identifying information and transmits it over the Internet to SSA. The system compares collected information with existing electronic records in real time. If the information keyed matches with SSA records, the system allows the requester 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. We added this question to maximize the use of SSA's authentication process.

4. **Why We Cannot Use Duplicate Information**
   The information collected through the automated telephone and internet service has already been collected and/or provided by SSA and posted to SSA's master electronic records; however, we ask for it again for comparison and authentication purposes. There currently is no existing alternative means for SSA to authenticate the respondents' identity other than requesting they provide the information when the request is user-initiated over the telephone or via the internet.

5. **Minimizing Burden on Small Respondents**
   This collection does not affect small businesses or other small entities.

6. **Consequence of Not Collecting Information or Collecting it Less Frequently**
   Failure to be able to authenticate the respondent's information would result in SSA's inability to respond to these requests. Since we only request the information on an as needed basis when the individual requests information via either the Internet or the telephone, we cannot collect it less frequently. There are no technical or legal obstacles to burden reduction.

7. **Special Circumstances**
   There are no special circumstances that would cause SSA to conduct this information in a manner inconsistent with *5 CFR 1320.5*.

8. **Solicitation of Public Comment and Other Consultations with the Public**
   The 60-day advance Federal Register Notice published on June 29, 2010, at 75 FR 37517, and SSA received no public comments. The second Notice published on September 3, 2010, at 75 FR 54211. If we receive any comments in response to the 30-day Notice, we will forward them to OMB. SSA did not consult members of the public in the development of this form.

9. **Payment or Gifts to Respondents**
   SSA does not provide payments or gifts to the respondents.

10. **Assurances of Confidentiality**
    SSA protects and holds confidential the information it collects 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.

11. **Justification for Sensitive Questions**

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

12. **Estimates of Public Reporting Burden**
As shown on the chart below, SSA estimates 764,885 callers annually select the automated telephone service to obtain claim status. It takes approximately 2 minutes to answer the questions, resulting in an annual reporting burden of 25,496 hours. We estimate 2,881,804 users annually use the IAPS application to obtain claim status via the Internet. It takes approximately 1 minute to enter an SSN and 8-digit confirmation number, resulting in an annual reporting burden of 48,030 hours.

Type of Request	Number of Respondents	Frequency of Response	Average Burden Per Response (minutes)	Total Annual Burden (hours)
Automated Telephone Services	764,885	1	2	25,496
Internet Services	2,881,804	1	1	48,030
Totals	**3,646,689**			**73,526**

This figure represents burden hours, and we did not calculate a separate cost burden.

13. **Annual Cost to the Respondents (Other)**
This collection does not impose a known cost burden on the respondents.

14. **Annual Cost To Federal Government**
The Automated Telephone application's annual cost to the Federal Government is approximately $139,021.71. This estimate is a projection of the costs for maintaining the automated telephone service.

For the Internet application, the estimated cost to the Federal Government to collect the information is negligible. Because the cost of maintaining the system which collects this information is accounted for within the cost of maintaining all of the SSA's automated systems, it is not possible to calculate the cost associated with just one Internet application.

15. **Program Changes or Adjustments to the Information Collection Request**
The increase in burden hours for the Automated Telephone application stems from an increase in the completion time from 1 minute to 2 minutes based on user feedback. The increase to the Internet application is due to an increase in internet usage.

16. **Plans for Publication Information Collection Results**
SSA will not publish the results of the information collection.

17. **Displaying the OMB Approval Expiration Date**
SSA is not requesting an exception to the requirement to display the OMB approval

expiration date for the Internet or Phone-Based Applications.

18. Exceptions to Certification Statement
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

SSA does not use statistical methods for this information collection.