Addendum to the Supporting Statement for

**The Ticket to Work and Self-Sufficiency Program**

**20 CFR 411**

**OMB No. 0960-0644**

**Revisions to the ICR**

The Social Security Administration (SSA) is making changes to this ICR as itemized below. OMB granted emergency approval for most of the revisions on **May 18, 2012**, and we are re‑clearing them as part of the regular OMB approval process. Unless otherwise noted, the changes or additions listed below are the ones OMB approved through the emergency clearance:

* **Developed a web-based Portal described below under “Addition to the ICR”**

**Justification** Makes the process more efficient; decreases burden for the ENs; reduces staff-time required to login and process paper forms; reduces printing and mailing costs; improves tracking.

* **Changed the forms listed below as described**:

*Ticket Assignment*

* **SSA-1365** State Agency Ticket Assignment Form (2a)

Changed fax number and in #1; changed the Employment Identification Number (EIN) to Data Universal Numbering System (DUNS); adjusted response time; made “fillable.” (Also available through Portal).

***Changed since May 18, 2012*:** At the bottom of page #2, after the word “TO,” we replaced “Maximus” with “Ticket to Work, PO BOX 1433.” We also removed “Maximus” from return address shown on the form, and changed PO Box to “1433” to match PO Box on page #2.

**Justification** Changed fax number because the Program Manager has a different fax number. Changed EIN to DUNS because state agencies share EINs but they have unique DUNS numbers. This change allows state agencies to contract with us separately under the Ticket Program. We adjusted the response time because we previously counted some of the time in the work plan. We made the form “fillable” so Employment Network (ENs) can fill it out electronically and email it to us for processing. We changed the PO Box and removed “Maximus” from the form to maintain consistency and show one PO Box as the return address for this form.

* **SSA-1370** Ticket to Work Individual Work Plan (2a)

Added an introductory statement; changed EIN to DUNS; made

wording changes (1) to emphasize that the plan belongs to the beneficiary, (2) requesting alternate contacts, (3) delineated types of services to ensure the EN will remember to tell us what they are offering the beneficiary in the various categories of employment support, and (4) requesting date and duration of employment counseling; made “fillable.”

***Changed since May 18, 2012*:** Allowed a space for the EN to check off the type of business model under which it is serving the beneficiary. (Also available through Portal)

**Justification** Issued contract changes requiring adjustments to the Individual Work Plan as described above. The introductory statement we added is an acknowledgement of the commitment the beneficiary is making. The new wording in the document: (1) makes it obvious the plan belongs to the beneficiary; (2) will help decrease incidents where the EN loses contact with the beneficiary because there is alternate contact information; and (3) ensures the beneficiary is aware that maintaining contact is a requirement for success. We changed EIN to DUNS because state agencies share EINs but they have unique DUNS numbers. We made space for the EN to indicate the business model under which the EN serves the beneficiary. We made the form “fillable” so ENs can fill it out electronically and email it to us.

*EN Payments*

* **SSA-1389** EN Services Certification (2fa)

Made it a two-part form; changed EIN to DUNS; made “fillable.” (Also available through Portal)

**Justification** Issued contract changes requiring adjustments to the EN Services Certification form. We made it a two-part form so the ENs can use it to tell us what additional future services they plan to offer instead of just telling of the past services provided. We changed EIN to DUNS because state agencies share EINs but they have unique DUNS numbers. We made the form “fillable” so ENs can fill it out electronically and email it to us. Because we created a second part to this form, we increased the burden estimate (see #15 of the Supporting Statement).

* **SSA-1391** EN Payment Request Form (2f)

Require description of service with Phase 1 through Phase 3 payment requests; changed EIN to DUNS; made “fillable.” (Also available through Portal)

**Justification** We issued contract changes requiring adjustments to the form to reiterate that we expect the EN to have provided services that assisted the beneficiary in achieving the work milestones. We changed EIN to DUNS because state agencies share EINs but they have unique DUNS numbers. This change allows state agencies to contract with us separately under the Ticket program. We made the form “fillable” so ENs can fill it out electronically and email it to us.

* **SSA-1392** EN Payment Status Report Request Form (2f)

Eliminated this form

**Justification** We eliminated this form because ENs no longer have to request a status report for their payment requests; we now email it upon request or it will be accessible through the Portal

* **SSA-1393** EN Supplemental Earnings Statement (2f)

Changed EIN to DUNS; made “fillable.” (Also available through Portal)

**Justification** Changed EIN to DUNS because State agencies share EINs but they have unique DUNS numbers. This change allows state agencies to contract with us separately under the Ticket program. We made the form “fillable” so ENs can fill it out electronically and email it to us.

* **SSA-1396** Earnings Inquiry Request (EIR) Form (2f)

Changed EIN to DUNS; made “fillable.” (Also available through Portal)

**Justification** Changed EIN to DUNS because state agencies share EINs but they have unique DUNS numbers; this change allows state agencies to contract with us separately under the Ticket program; made the form “fillable” so ENs can fill it out electronically and email it to us.

* **SSA-1398** Self-Employment Income (SEI) Form (2f)

Changed EIN to DUNS; made “fillable”

**Justification** Changed EIN to DUNS because state agencies share EINs but they have unique DUNS numbers; this change allows state agencies to contract with us separately under the Ticket Program; made the form “fillable” so ENs can fill it out electronically and email it to us.

* **SSA-1399** Auto-Pay Request Form (2f)

Changed EIN to DUNS; made “fillable.” We will eliminate this form in January 2013.

**Justification** Changed EIN to DUNS because state agencies share EINs but they have unique DUNS numbers. This allows state agencies to contract with us separately under the Ticket Program; made the forms “fillable” so ENs can fill them out electronically and email them.

We will eliminate this form because ENs will not have to sign up for automatic payments in the near future. When we are ready to eliminate this form, we will send a Change Request to OMB to approve the removal of this form from this information collection request.

* **SSA-1401** EN Split Payment Form (2c)

Changed EIN to DUNS; made “fillable.” (Also available through Portal)

**Justification** Changed EIN to DUNS because state agencies share EINs but they have unique DUNS numbers. This allows state agencies to contract with us separately under the Ticket Program. We made the form “fillable” so ENs can fill it out electronically and email it to us.

*Progress Reviews*

* **SSA-L1377** Service Provider Progress Review Certification Letter (2c)

***Changed Since May 18, 2012*:**Eliminating this form; Available through Portal

**Justification** Discontinued use of the paper form to save on mailing costs and processing time for both SSA and the ENs/state VR agencies with the most Ticket clients.

*Periodic Outcomes Reporting*

* **20 CFR 411.325(f)** ***Changed Since May 18, 2012*:**We no longer need to collect as

much information under this Regulation. We no longer collect information regarding the number of clients an EN has; how many of those clients are working; how many they have helped retain employment; and other similar information.

**Justification** We now obtain as much information as possible from our administrative records based on information we previously requested of the ENs through Ticket assignment or EN payment information, as well as other collection instruments mentioned within this information collection request. In this way, we avoid asking the ENs to provide the same information twice. We continue to collect information we cannot derive from the other sources (e.g., EN staff composition; average wages and hours worked by SSI recipients; special populations the ENs serve, etc.).

*Contracts*

* **SSA-1394** Employment Network Blanket Purchase Agreement (BPA) Change

Form (2i)

Changed EIN to DUNS; made “fillable”; reorganized and revised certain important information

**Justification** Changed EIN to DUNS because state agencies share EINs but they have unique DUNS numbers. This allows state agencies to contract with us separately under the Ticket Program. We made the form “fillable” so ENs can fill it out electronically and email it to us. We reorganized and revised certain important information to delineate it clearly. We expect this will reduce inquiries.

**Changes to the Burden Information**

* We adjusted our burden information to show an expansion of Portal use. We will ask the ENs to use the Portal over the paper versions of the form (or written communication for those regulations that have no paper form) 80% of the time. Therefore, we changed our burden estimates to reflect this policy change. However, we are encouraging, but not requiring the ENs to use the Portal. Since the Portal transactions take less time for the ENs, we reduced the burden accordingly.

**Additions to the ICR**

* We are adding a new Interactive Voice Recognition (IVR) telephone service as a new means for ENs to contact MAXIMUS to establish ticket assignability prior to assigning a ticket or using it with a state VR agency. Currently ENs must call MAXIMUS, supply their unique DUNS number, as well as the beneficiary’s name and SSN to a live operator to receive this information. With the implementation of the IVR automated system, the ENs will be able to input their DUNS and the beneficiary’s SSN to obtain this information. In addition, if they do not wish to use the IVR service, they will be able to input the same information to the new Secure Provider Portal explained in more detail below.
* Over the past several months, the SSA’s Program Manager, MAXIMUS, has been working with SSA and the MAXIMUS Web development team to create and deploy the Secure Provider Portal (Portal), which will enable the ENs to view and submit information specific to their organizations. We developed the portal to assure we do not change the normal business processes MAXIMUS follows in managing the Ticket to Work Program. However, the Portal versions of the forms differ in some ways from the paper forms ENs currently submit. The attached screen package presents the EN Portal and highlights the differences between EN Portal submissions and paper submissions. We have also attached additional screens associated with changes to the Portal since May 18, 2012, and explanations of their use.

The Secure Provider Portal is an online tool that will allow service providers to review or submit information specific to their organization. By accessing a secured area of the Website, ENs will be able to access the following reports and notifications:

* Ticket Assignment/Unassignment Report



* Payment Status (Detail) Report ***(Changed since May 18, 2012)***
* Earnings Inquiry Request Report (SSA-1396)
* Timely Progress Review Report
* History of VR Activity of Beneficiaries ***(Added since May 18, 2012)***
* Notification of Split Payments ***(Added since May 18, 2012)***
* Payment Allocation Determination ***(Added since May 18, 2012)***

Additionally, ENs will have the ability to submit information to MAXIMUS electronically. The EN Portal will allow them to submit the following forms online:

* Payment Request Form (SSA-1391, SSA-1401)



* Employment Network Supplemental Earnings Statement (SSA-1393)
* Certification of Services
* Earnings Inquiry Request (SSA-1389, SSA-1392, SSA-1396, SSA-1398)
* Individual Work Plan (SSA-1370)
* State Vocational Rehabilitation Agency Ticket Assignment Form (SSA-1365)
* Timely Progress Review Response (SSA-L1377)
* Annual Performance Outcome Report ***(Added since May 18, 2012)***
* Closure or Unassignment Request ***(Added since May 18, 2012)***
* Employment Network Contract Change Form (SSA-1394) ***(Added since May 18, 2012)***

ENs will also be able to check Ticket assignability online. By simply entering a beneficiary’s SSN, the EN will obtain information regarding:

* Ticket Assignability
* Current EN/VR Assignment
* Previous EN/VR Assignment
* VR Closure Code (as appropriate)
* Payments Made

ENs will also have access to the following tool for their discretionary use to determine how much in Ticket payments they may potentially receive for individuals who have used some of the value of their Ticket.

* Revenue Estimator and Payment Chart ***(Added since May 18, 2012)***

ENs will only be able to enter SSNs. ENs will not be able to enter names or any other information. In fact, there will not be any open text fields. In addition, ENs will not be able to upload any attachments. Since allowing ENs to attach and upload documents may cause an exposure of PII, we are not making this functionality available.

To compensate for these limitations, we are providing the necessary information ENs may need to enter in other controls, such as dropdown menus, checkboxes, radio buttons, and date pickers. The result is that the forms ENs will see online look different from the paper versions they currently use.

The ENs will access the Portal through a “Sign In” link located on the upper-right of the screens. The ENs will enter the login credentials we provide for them. Once logged in, the program will take the ENs back to the website starting page; however, they will be able to click on a “Go to” link from the toolbar at the top of the page to select and enter the EN Portal.

For each online form the ENs can fill out through the Portal, the screen will propagate the EIN for them using their login ID as a guide. The ENs will then need to enter the SSN of a ticket-holder, and use a series of drop-down boxes to fill out the forms. Once the ENs complete a form, they will hit the “Next” button, which will take them to a review screen. If they find errors on the review screen, they will be able to go back and edit or cancel the form. If everything is accurate, they will select “Submit” to send the information through the Portal to MAXIMUS.

For the ease of the ENs, we will propagate as much information as possible based on the user ID or the SSN the ENs supply. Since our paper versions of these forms do not allow for pre-filled information, we estimate this Portal will decrease the burden on the ENs and allow for faster processing of these forms.