

SUPPORTING STATEMENT FOR

**THE NATIONAL BENEFICIARY SURVEY—
GENERAL WAVES AND SEMI-STRUCTURED INTERVIEWS**

Revision Request

OMB No. 0960-0800

Supporting Statement: Part A

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**SUPPORTING STATEMENT FOR
THE NATIONAL BENEFICIARY SURVEY GENERAL WAVES
AND
SEMI-STRUCTURED INTERVIEWS
OMB No. 0960-0800**

Part A: Justification

A.1. Introduction/Authoring Laws and Regulations

A.1.1. Overview

In this information collection request (ICR), The Office of Retirement and Disability Policy within the Social Security Administration (SSA) seeks a three year extension for an existing data collection called the National Beneficiary Survey (NBS)-General Waves (OMB No. 0960-0800; expiration date September 30, 2017). The NBS gathers information from Social Security Disability Insurance (SSDI) beneficiaries and Supplemental Security Income (SSI) recipients that is not available in administrative data or other public databases. Under the current Office of Management and Budget (OMB) approval, SSA completed the first of three rounds of data collection from a nationally representative cross-sectional sample of SSDI and SSI beneficiaries. SSA scheduled two additional rounds under this extension request.

SSA proposes this extension to continue to gather data from SSI recipients and SSDI beneficiaries about their characteristics; their well-being; and other factors that promote or hinder employment. In particular, the survey seeks to uncover important information about the factors that promote beneficiary self-sufficiency and, conversely, factors that impede beneficiary efforts to maintain employment. We will use this data to improve the administration and effectiveness of the SSDI and SSI programs. These results will be valuable as SSA and other policymakers continue efforts to improve programs and services that help SSDI beneficiaries and SSI recipients become more self-sufficient.

SSDI and SSI programs provide a crucial and necessary safety net for working-age people with disabilities. By improving employment outcomes for SSDI beneficiaries and SSI recipients, SSA supports the effort to reduce the reliance of people with disabilities on these programs. SSA conducted the prior NBS in 2004, 2005, 2006, and 2010, which was an important first step in understanding the work interest and experiences of SSI recipients and SSDI beneficiaries, and in gaining information about their impairments; health; living arrangements; family structure; pre-disability occupation; and use of non-SSA programs (e.g., Supplemental Nutrition Assistance Program or SNAP). SSA made prior NBS data available to researchers and the public. The survey data will continue to serve as a major source about the well-being and factors

that promote or hinder employment among a nationally representative sample of active SSI recipients and SSDI beneficiaries. As with the previous phases of this project, an SSA-funded private contractor will conduct the interviews.

A.1.2. Background

For the new NBS-General Waves, SSA originally planned to collect three rounds of data from a national sample of SSA disability beneficiaries (hereafter referred to as the Representative Beneficiary Sample) and a sample of suspended beneficiaries who have high earnings or successful work beginning in 2014. We planned to complete approximately 4,000 interviews with active¹ beneficiaries in each of the three rounds while the sample sizes for those whose benefits SSA suspended would vary across rounds². In addition, some beneficiaries we identified as individuals in suspense status at the time of the round 1 interview, we planned to follow longitudinally in rounds 2 and 3.

Due to difficulties associated with developing a sample design that would provide sufficient numbers of beneficiaries who earned enough to have their benefits suspended in the recent past, SSA postponed the start of the survey to 2015 and did not include a sample of successful workers as part of the round 1 NBS-General Waves survey. In lieu of including a sample of successful workers in the round 1 survey data collection, we conducted 90 semi-structured interviews with this group.

We revised the successful worker design to achieve two important goals: 1) identify a sufficient number of beneficiaries with recent successful work to detect meaningful differences between subgroups, and 2) interview them as close to their successful work period as possible (within 6 months) to minimize recall issues. In rounds 2 and 3, we will conduct surveys with successful workers, defined as having three consecutive months of earnings above the Substantial Gainful Activity (SGA) threshold based on SSA's administrative data, as well as the Representative Beneficiary Sample. In addition, in round 3 we will re-interview successful workers who maintained their work status at the time of the round 2 interview.

SSA revised the survey instrument for the NBS-General Waves to accommodate the sample of successful workers at rounds 2 and 3. We based the revisions on meetings with a technical support group (TSG), a literature review, and the results of 90 semi-structured interviews conducted in 2015 with beneficiaries who had periods of sustained and not sustained successful work of employment over time. The interviews focused on (1) how SSA, employers, community-based organizations, and the beneficiaries themselves aid or inhibit beneficiaries' efforts to obtain and retain employment, and (2) how the employment experiences of beneficiaries with higher earnings differ from the experiences of those with lower earnings. We

¹ Active status includes beneficiaries who currently receive cash benefits as well as those in temporary suspense for work or other reasons. It does not include terminated beneficiaries.

² At round 1, we planned to interview approximately 4,500 suspended beneficiaries due to their work. In rounds 2 and 3, we plan to complete approximately 3,000 interviews with suspended beneficiaries selected for the cross-sectional samples. In addition, we will follow 2,500 suspended beneficiaries from round 1 longitudinally in rounds 2 and 3.

do not anticipate making substantive changes to the NBS-General Waves instrument between rounds 2 and 3.

A.1.3. Legal Authority

Section 1110 of the *Social Security Act (Act)* [42 U.S.C. 1310] authorizes SSA to conduct research and evaluation projects. This includes making grants to states, public and other organizations and agencies for paying part of the cost of research or demonstration projects such as those relating to the prevention and reduction of dependency; or which will aid in the coordination of planning between private and public welfare agencies; or will help improve the administration and effectiveness of programs carried on or assisted under the *Act*. We intend to gather data from SSI recipients and SSDI beneficiaries about their well-being and factors that promote or hinder employment. SSA will use this data to improve the administration and effectiveness of its programs.

A.2. Description of Collection

The primary purpose of the NBS-General Waves is program planning, management, and research. The NBS-General Waves will provide SSA, Congress, and other policymakers with information about key factors that contribute to SSDI beneficiaries' and SSI recipients' successful or unsuccessful employment efforts. In particular, the study will generate important information about the factors that promote SSDI beneficiary and SSI recipient self-sufficiency and, conversely, factors that impede their efforts to maintain employment. These results will be valuable in our continuing efforts to improve programs and services so that SSDI beneficiaries and SSI recipients can become self-sufficient.

Via an SSA-funded private contractor, SSA conducted round 1 of the NBS-General Waves in 2015, and will conduct round 2 in 2017, and round 3 in 2019. To moderate costs, SSA will field the new NBS every two years, rather than annually, as previously conducted. The survey will collect data not available from SSA administrative data or other sources. The survey (Attachment A) will address five major questions as follows:

1. What are the work-related goals and activities of SSI recipients and SSDI beneficiaries, particularly as they relate to long-term employment?
2. What are the short-term and long-term employment outcomes for SSI recipients and SSDI beneficiaries who work?
3. What support mechanisms help them in finding and keeping jobs, and what barriers to work do they encounter?
4. What are the characteristics and experiences of SSI recipients and SSDI beneficiaries who work?
5. What health-related factors, job-related factors, and personal circumstances hinder or promote employment and self-sufficiency?

In round 1 of the NBS-General Waves we collected survey data from a nationally representative sample of active SSI recipients and SSDI beneficiaries. We completed 4,062 interviews. In rounds 2 and 3, we plan to complete approximately 4,000 interviews with a cross-sectional sample of active beneficiaries or recipients (SSI and SSDI). We will add a cross-sectional successful worker sample in rounds 2 and 3 yielding 4,500 and 3,000 completed interviews, respectively. In round 3, we will re-interview successful workers who complete the round 2 interview (n=2,250). In Table A.1 we provide an overview of the sample sizes for each round.

Table A.1. NBS–General Waves Sample Sizes per Round

Sample ^a		Completed Interviews per Year (Round)			
		2015 (R1) ^b	2017 (R2)	2019 (R3)	All Years
Representative Beneficiary Sample		4,062	4,000	4,000	12,062
Semi-structured interviews (qualitative)		90			90
Successful Workers	Cross-sectional		4,500	3,000	7,500
	Longitudinal		↳	2,250 ^c	2,250
Subtotal of Successful Workers			4,500	5,250	9,750
Total Interviews		4,152	8,500	9,250	21,902

a The sample sizes refer to the number of completed interviews. Because the target response rate is 80 percent, to complete this many interviews we would have to sample about 1.25 times as many cases.

b The total reflects the actual number of completed interviews in round 1. Round 2 and 3 values reflect the anticipated number of completed interviews.

c In round 3 (2019), the contractor will attempt to re-interview individuals who were successful workers at the time of the round 2 interview. We estimate that approximately one-half of successful workers at the time of round 2 sample selection will remain successful at the time of the round 3 interview and that the other half will have reduced earnings levels and greater reliance on benefits.

We conduct the survey interviews primarily by telephone, but for those who cannot complete the interview by telephone because of a physical or intellectual disability, or for whom we cannot locate a valid telephone number, we conduct an interview in person. The survey collects information on socio-demographic characteristics; income; program participation; health and disability status; use of employment services; and employment supports, obstacles and outcomes. We send all sample members an advance letter informing them of their selection into the study prior to the initial telephone contact (see Attachment B). We use a mini-cognitive test, designed expressly for the survey, to identify when we need a proxy respondent. To promote response among Hispanic sample members, we translate the survey into Spanish. We employ a number of additional accommodations for those with hearing or speech impairments including

Telecommunications Relay Service (TRS), amplifiers, and instant messaging. We scheduled the data collection to last approximately eight months for each round.

As mentioned previously, the respondents to the NBS-General Waves are active SSI recipients and SSDI beneficiaries. Participation is voluntary and the decision to participate or not will not affect current or future receipt of benefits or payments.

The primary users of the information collected for the NBS-General Waves are researchers and policymakers in the Federal Government (especially SSA, the Departments of Health and Human Services, and Education), as well as state vocational rehabilitation agencies (SVRAs). SSA makes available a public use data set from each round of the NBS-General Waves, with all personal identifiers removed. Other interested researchers may use this public use file (PUF) to address issues related to the health and employment-related activities of SSI recipients and SSDI beneficiaries.

A.3. Use of Information Technology to Collect the Information

SSA's contractor collects the NBS-General Wave data using computer-assisted telephone interviewing (CATI) and computer-assisted personal interviewing (CAPI) software in circumstances when telephone interviews are not feasible. We use identical survey instruments in each mode.

A.4. Why We Cannot Use Duplicate Information

The nature of the information we collect and the manner in which we collect it preclude duplication. SSA does not use another collection instrument to obtain similar data representative of all our SSDI beneficiaries and SSI recipients.

The NBS-General Waves collects data not available from SSA administrative data or other sources. SSA data are limited in part because we collect it for administrative purposes, not research. The NBS-General Waves addresses the most significant of SSA's administrative record limitations, including the following:

- There is no useful information on current job characteristics other than annual earnings for SSDI beneficiaries. SSI recipients cannot obtain job characteristic information, but they can obtain self-reports of monthly earnings. This survey collects detailed information about job quality, especially wages, occupation, hours worked, and fringe benefits.
- The data collected affects information on impairments; health; living arrangements; marital status; family members; pre-disability occupation; other personal income; and education in significant ways. We include these topics in the survey because they are often determinants of employment success.

- There is no useful information on use of employment services, family income, use of non-SSA programs (e.g., SNAP), recipient knowledge of SSDI and SSI work incentive programs, obstacles to return to work, factors facilitating attaining and keeping a job, and beneficiary interest and motivation to return to work. We cannot address any of these issues with SSA administrative data.

A.5. Minimizing Burden on Small Respondents

This collection does not significantly affect small businesses or other small entities.

We administer the vast majority of the NBS-General Waves surveys to SSDI beneficiaries and SSI recipients residing in the general population. We attempt to interview individuals institutionalized or living in group settings who are able to participate. We expect this number to be very small (less than 1 percent of all completed surveys). In these instances, we contact institution staff in advance and explain the purpose of the study before we attempt an interview. We expect the involvement of small entities will be negligible.

A.6. Consequence of Not Collecting Information or Collecting it Less Frequently

If SSA did not conduct the NBS-General Waves surveys, SSA would be unable to address important issues regarding SSDI beneficiaries' and SSI recipients' success in finding, maintaining, and advancing in employment. SSA would lack information about the impairments; health; living arrangements; family structure; pre-disability occupation; use of non-SSA programs (e.g., SNAP); knowledge of SSDI and SSI work incentive programs; obstacles to return to work; and interest and motivation to return to work—all factors that can positively or negatively affect employment success.

Longitudinally tracking successful workers will allow SSA to better understand how beneficiaries and recipients retain their employment and advance in their work.

A.7. Special Circumstances

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

A.8. Solicitation of Public Comment and Other Consultations with the Public

A.8.1. Federal Register

SSA published the 60-day advance Federal Register Notice on June 20, 2016, at 81 FR 39990, and we received no public comments. We published the 30-day FRN on August 29, 2016, at 81 FR 59261. If we receive any comments in response to this Notice, we will forward them to OMB.

A.8.2. Consultation with the Public

We base this survey on the prior NBS which we designed under a prior SSA-approved contract. The Lewin Group, Cornell University, Westat, and Mathematica Policy Research staff provided input in the development of the original design. SSA consulted with its contractor, Mathematica Policy Research, and a TSG that convened in January 2013, to discuss revising the NBS to suit the survey’s new goals. In addition to their participation in the group meetings, we consulted selected TSG members on an ad hoc basis when addressing specific issues in the development of survey instrument design.

Table A.2. Consultants Outside the Agency

Name	Affiliation	Area(s) of Expertise
Gina Livermore	Mathematica Policy Research Washington, DC (Mathematica)	Evaluation methods, survey design, disability programs, SSA data
David Stapleton	Mathematica	Evaluation methods, statistics, survey design, disability programs, SSA data
Debra Wright	Mathematica	Questionnaire design, interviewing persons with disabilities
Kirsten Barrett	Mathematica	Questionnaire design, interviewing persons with disabilities
Jason Markesich	Mathematica	Data collection operations and survey methods

A.9. Payment or Gifts to Respondents

SSA believes that some compensation is important to engender a positive attitude about the study and reduce attrition in follow-up interviews. Research shows incentives increase response rates without compromising data quality (Singer and Kulka 2000); and incentives increase response rates for people with lower educational levels (Berlin et al. 1992); and low-income and nonwhite populations (James and Bolstein 1990) as well.

The contractor pays survey respondents a modest sum to encourage response; facilitate cooperation; and demonstrate appreciation to participants for their time and effort. In the first round of the NBS-General Waves, we provided gift cards of \$20 to participants once they completed the interview. Assuming we can allocate additional funding to our incentive budget, we propose to offer gift cards of \$30 per interview for rounds 2 and 3 to respondents once they meet all appropriate criteria for participation. We propose an increase for rounds 2 and 3 because the updated instrument will take, on average, 60 minutes to complete, approximately 10 to 15 minutes longer on average than the round 1 instrument. For some respondents, it will take

as long as 70 minutes to complete the interview (see Table 3 under Estimates of Hours Burden). In addition, we achieved a significantly lower response rate (60 percent) in round 1 of the NBS-General Waves than in the four prior rounds, suggesting a higher incentive may help to achieve the targeted 80 percent response rate.

In addition, several studies, including a meta-analysis of 39 experiments by Singer et al. (1999) suggest the effect of incentives on response rates is linear; the greater the incentive, the greater the difference in response rates between the lowest and highest incentive conditions (Church 1993; Yu and Cooper 1983). Results from an incentive experiment we conducted at round 1 indicated that offering \$30 to beneficiaries during the first month of data collection resulted in a higher completion rate and a higher percentage of call-ins than offering a \$20 incentive payment. Therefore, we propose raising the incentive amount to \$30 to help offset the general trend in declining response rates, and compensate respondents for a greater time commitment. If we are unable to allocate additional funds to the incentive budget, we will offer \$20 to all respondents as we did in round 1.

In addition to the post-pay incentive, the contractor may send a \$5 pre-paid gift card to non-respondents within the final three months of each field period to encourage timely response. Once they complete the survey, respondents will receive an additional \$25 gift card³. We base this decision on an experiment conducted as part of the round 1 NBS (We reported these results to OMB). While a comparison of the overall response rates between wave 1 (control group) and waves 2-5 (treatment group) showed there was no statistically significant improvement in the completion rate for the treatment group, there was a significant decrease in the time it took to complete cases in the treatment group, suggesting the prepay encouraged call-ins and reduced follow-up for unresolved cases.

A.10. Assurances of Confidentiality

Before the NBS-General Waves interviews, we notify SSI recipients and SSDI beneficiaries by mail of their selection into the survey; the survey's purpose; and SSA's desire to interview them. The letter provides assurance that all the information SSA collects will be confidential, unless required by law, and will not be used in any way that would affect their program eligibility or payments. It also indicates the toll-free telephone number to call if they have questions about the study, as well as links to the contractor and SSA websites (see Attachment B). When we subsequently contact survey sample members for an interview, we will again advise them of the purpose of the survey and reassure them of confidentiality.

SSA protects and holds confidential the information we collect 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. We conducted a privacy threshold analysis examining the procedural safeguards and policies for the new rounds of the NBS in March 2013. The SSA-approved contractor has a great deal of experience handling sensitive data and has standard operating procedures in place to ensure the confidentiality of computerized and paper

³ If we are unable to allocate additional funds to our incentive budget, SSA will provide a \$15 gift card to respondents once they complete the survey, for a total incentive payment of \$20.

records, including the use of passwords and encrypted identifiers, to prevent direct or indirect disclosures of information. Furthermore, the contractor's information management systems fully complies with the Government's information systems requirements.

The contractor employs the following safeguards to carry out privacy assurances:

- We will store sample selection and survey data materials on an encrypted network drive. SSA limits access to data to those who have direct responsibility for providing the sample and maintaining sample locating information. SSA limits staff access to data storage and files to authorized personnel who have passwords. At the conclusion of the research, we destroy this data. We conduct audits on an ongoing basis to compare the list of cleared staff to those charging time and with access to restricted folders verifying clearance of all appropriate staff.
- We employ a password protected screen saver which automatically activates when NBS project staff step away from their work area.
- We maintain all identifying information, survey responses, and interview materials, in separate files we can link sample identification numbers. A small number of individuals who have a need to know can access the file linking sample identification numbers with survey respondent's identification and contact information.
- We strictly limit any access to hard copy documents. We label documents with a sample identification number and store such information in a locked file cabinet in a secure facility. We shred discarded material.
- We protect via password all electronic devices used for CAPI data collection. For CAPI, we transmit only over secure connections any confidential case information (name, address, and telephone number) to field interviewers. We never transmit Social Security numbers to field interviewers.
- The contractor will only transfer data to SSA using a secure transfer file site or by email using WinZip 9.0 password encryption (256-bit AES encryption) to protect the file.
- All employees sign and adhere to a confidentiality pledge (provided in Attachment C).

A.11. Justification for Sensitive Questions

Although some questions in this survey are potentially sensitive, they are necessary to conduct a thorough survey. Moreover, SSA will ensure the information remains confidential, as per the measures described in Section A.10.

The NBS-General Waves contains questions on demographic and household information; education; health status; functioning; employment and employment service use; use of public programs; personal attitudes; income; and health insurance coverage. A number of questions are potentially sensitive, particularly given the fact that sample members, by definition, may have a disability. All health status and functioning questions are potentially sensitive. A variety of attitudinal questions (such as those relating to the respondent's willingness to re-enter the labor

force) and behavioral questions (such as those relating to drug and alcohol use) could be sensitive in nature. Finally, as in most surveys, questions on earnings and income are sensitive questions. This is the case in this study, given that SSA is sponsoring the study, and earnings are pertinent to eligibility for disability benefits and SSI program eligibility.

SSA uses the survey data collected to provide critical information about the supports and challenges that SSDI beneficiaries and SSI recipients face going back into the labor force. We collect only information not available from other sources and considered critical to the evaluation of important outcomes. Research shows that health status and functioning variables are critical determinants of employment outcomes, and treatment or accommodation of health conditions or impairments could be a key component of rehabilitation. The only administrative data on this topic is the impairment designation SSA examiners use when deciding an individual's SSI or SSDI eligibility. Drug or alcohol abuse is also a key determinant of employment outcomes, and treatment of abuse could be a key determinant to the program's success. SSA administrative data have some information on substance abuse at the time of the disability determination, but it is incomplete and there is no information on post-award behaviors. Income and benefits from other sources, including family members, could be a key determinant of success, and could be affected by returning to work (e.g., reduced or lost due to higher earnings).

Whenever possible, we adopt questions from or model questions after those on existing collection instruments that we have used in previous studies of the general population, or studies of SSDI beneficiaries and SSI recipients. In particular, SSA models questions from the following instruments:

- Alcohol use and abuse from the CAGE.⁴
- General health status from the short form (SF)-8 (8-Item Short-Form Health Survey), which is a derivation of the longer SF-36, an instrument that has been widely used in studies to rate overall health status.⁵
- Activities of daily living limitations and functioning adapted from the Survey of Income and Program Participation (SIPP), the American Community Survey, and the main survey instrument being used in SSA's National Study of Health and Activity (NSHA).
- Sources of income and employment status adapted from questions in the Current Population Survey (CPS), NSHA, and SIPP.

⁴ The CAGE is a brief four-item screen for alcohol abuse. The letters in the acronym reflect the four alcohol-related concepts queried: cut-down; annoyed; guilty, and eye-opener.

⁵ We use various SF health surveys to measure health status and quality of life. The SF-8 is an empirically derived subset of items from the 36-item SF-36, which many consider the "gold standard" in the assessment of health status. The SF-36's design is for use in clinical research, health policy evaluations, and general population surveys. We use the SF-12 and SF-8 to reduce respondent burden. The SF-8, SF-12, and SF-36 assess 8 health concepts—limitations in physical activities due to a health problem; limitations in social activities due to a health problem; limitations in usual role activities due to a physical health problem; limitations in usual role activities due to an emotional problem; pain; general mental health; vitality; and general health perceptions.

During the consent process, and at the start of each interview, we inform respondents that the information they provide is confidential and used only for research purposes. We also tell them they are at liberty to decline answering questions they find too sensitive. We train interviewers on how to administer the instruments and probe on sensitive issues.

A.12. Estimates of Public Reporting Burden

SSA obtains the NBS-General Waves survey data from sampled SSDI beneficiaries and SSI recipients. Table A.3 shows the expected number of survey respondents; the frequency with which we will interview them; and the expected completion time by round. To estimate the annualized hour burden on survey respondents, we have made the following assumptions for each group in Table A.3:

- In 2017 and 2019 we will administer the NBS-General Waves survey to 4,000 active SSI recipients and SSDI beneficiaries (the RBS). We estimate that the average time for active beneficiaries to complete the survey is 50 minutes each round.⁶
- In 2017 and 2019, we will administer the NBS-General Waves survey to 4,500 and 3,000 successful workers. In 2019, we will also re-interview 2,250 successful workers from round 2. We estimate the average time for successful workers to complete the survey is 70 minutes each round (due to additional items specific to this group).

⁶ We base time estimates on a CATI pretest of the Round 2 questionnaire, conducted in January 2016. The estimates reflect expected percentages of the sample who will skip selected questions and therefore have shorter interview times (for example, nonworking beneficiaries and those who have not used employment services).

Table A.3. Annual Burden Estimates

Administration Year	Number of Respondents	Number of Responses per Respondent	Average Burden Per Response (in minutes)	Total Annualized Burden: Hours
2017				
<i>Cross-Sectional Samples</i>				
• Representative Beneficiary Sample	4,000	1	50	3,333
• Successful Workers	4,500	1	70	5,250
Subtotal				8,583
2019				
<i>Cross-Sectional Samples</i>				
• Representative Beneficiary Sample	4,000	1	50	3,333
• Successful Workers	4,500	1	70	5,250
<i>Longitudinal Samples</i>				
• Successful Workers	2,250	1	70	2,625
Subtotal				9,458
Total Burden	17,750			18,041

The total burden for this ICR is 18,041 hours across years. This figure represents burden hours, and we did not calculate a separate cost burden.

A.13. Annual Cost to the Respondents (Other)

There is no known cost burden to the respondents.

A.14. Annual Cost to Federal Government

The estimated cost to the federal government for the NBS-General Waves is \$14,425,128. This estimate includes the contractor's cost to revise the sample design and questionnaire; administer the quantitative data collection; and prepare data files and documentation for each round. The average annual cost is \$1,311,375. We base these estimates on the contractor's experience with prior rounds of the NBS.

A.15. Program Changes or Adjustments to the Information Collection Request

We updated the burden to reflect actual data collected for past years. Our initial burden showed estimates for this survey, while now we have actual data which we used to compute the updated burden figures. In addition, the requested changes to the survey more accurately depict how long

each response takes to complete. We updated the first wave data with actual numbers, and we updated waves 2 and 3 with more accurate burden estimates.

A.16. Plans for Publication Information Collection Results

A.16.1. Tabulation Plans

In the NBS-General Waves, we focus our analyses on factors leading to successful and unsuccessful work attempts. Specifically, our analyses based on this survey data encompass the following: use of services; employment outcomes and program exits; factors leading to successful and unsuccessful work attempts; and differences across respondent subgroups (for example, differences based on program title). SSA will draw on previous NBS analyses for the purposes of making comparisons.

We link the NBS-General Waves data to our administrative data for analyses, examining how various respondent characteristics correlated with duration of benefit or payment receipt, benefit and payment amounts, and program exits; we will add administrative information on the use of work incentives and program exits due to work.

A.16.2. Publication Plans

We make the findings from the survey available in a report containing tabulations; graphics; and narrative that will provide a comprehensive understanding of SSDI beneficiaries and SSI recipients and their service use; employment outcomes; and degree of self-sufficiency.

The prior rounds of the NBS were critical in providing adequate responses to Congressional directives and questions. SSA will continue to use the NBS-General Waves to address these questions and provide the information publicly through our responses to quarterly financial reports. We will focus further analyses on better understanding SSDI beneficiary and SSI recipient work behavior and how to develop and support increased employment and earnings. The documentation and public use data files will be available on both SSA's and DATA.gov's websites.

A.16.3. Time Schedule

Figure A.1 below shows the timeline for the NBS-General Waves surveys. It calls for two rounds of data collection (rounds 2 and round 3), spaced two years apart. We expect data collection for the second round to begin in February 2017 and continue through December 2017. We will make public-use data files for round 2 available in August 2018. Subsequent survey rounds follow a similar schedule, with the final combined data and documentation, including all three survey rounds, completed in the fall of 2020.

A.17. Displaying the OMB Approval Expiration Date

SSA is not requesting an exception to the requirement to display the OMB approval expiration date.

A.18. Exception 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).

Part A References

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