

**Supporting Statement for Form SSA-199 and Accompanying Regulations**  
**Vocational Rehabilitation Provider Claim**  
**20 CFR 404.2101(a); 404.2108(b); 404.2117(c)(1)&(2); 404.2121(a); 416.2208(b);**  
**416.2217(c)(1)&(2); 416.2201(a); and 416.2221(a)**  
**OMB No. 0960-0310**

**A. Justification**

**1. Introduction/Authoring Laws and Regulations**

Section 205(a) of the *Social Security Act (Act)* allows the Commissioner of the Social Security Administration (SSA) to make rules and regulations and to institute procedures to collect information from the public, which establish the right to the following benefits:

a. Claiming Reimbursement for Vocational Rehabilitation (VR) Services Provided

Sections 222(d)(1), (4)&(5) and 1615(d) of the *Act* authorize the Commissioner to determine the amount SSA reimburses for VR services. SSA's regulations at 20 CFR 404.2108(b) and 416.2208(b) of the *Code of Federal Regulations (Code)* require the state VR agencies to make claims for reimbursement of the cost incurred for providing VR services on Form SSA-199, Vocational Rehabilitation Provider Claim form, provided by SSA.

b. Certifying Adherence to Cost Containment Policies and Procedures

Section 222(d)(1) and 1615(d) of the *Act* authorize the Commissioner to reimburse state VR Agencies for the reasonable and necessary costs of VR services to disabled beneficiaries. 20 CFR 404.2117(c)(1) and 416.2217(c)(1) of the *Code* require SSA to pay reasonable and necessary costs, complying with the written cost containment policies of the state VR agencies established under 34 CFR 361 of the *Code*. In addition, 20 CFR 404.2117(c)(2) and 416.2217(c)(2) of the *Code* require state VR agencies to submit written certification (before the end of the first calendar quarter of each year) to SSA, explaining their adherence to established cost containment policies when providing goods and services for which they claim payment from SSA. When SSA deems it necessary, the state VR agencies also submit copies of their specific written policies and procedures to carry out SSA programs (e.g., any guidelines and fee schedules for a given year).

c. Preparing Causality Statements

Sections 222(d)(1) and 1615(d) of the *Act* authorize the Commissioner to reimburse state VR agencies for the reasonable and necessary costs of VR services to disabled beneficiaries. 20 CFR 404.2121(a) and 416.2201(a) of the *Code* require state VR agencies to submit a clear explanation or existing documentation of the causal relationship between each service they provide and its impact upon the attainment of a continuous 9-month period of

substantial gainful activity. In addition claims described in 404.2101(a) and 416.2221(a) of the Code require state VR agencies to submit a clear explanation or existing documentation of how they expect the services they provide to motivate or assist the individual to attain substantial gainful activity.

## **2. Description of Collection**

SSA requires respondents to provide the information listed on Form SSA-199 to obtain reimbursement of costs incurred for providing VR services. The respondents provide the information requested through a web-based Secure Ticket Portal, in lieu of submitting forms. This Portal allows VRs to retrieve reports, and enter and submit information electronically, minimizing the use of the paper form. SSA requires VR agencies to submit claims for reimbursement for the following categories:

- a. Claiming Reimbursement for VR Services Provided:  
We require VR agencies to submit each claim for reimbursement in a format SSA prescribes containing: (1) a description of each service provided; (2) the date when the State VR agency provided the service, and (3) the cost of the service they provided. SSA needs this information to determine whether or not, and how much, to pay under our vocational rehabilitation programs.
- b. Certifying Adherence to Cost Containment Policies and Procedures:  
SSA needs the information each state VR agency provides about their cost containment policies to permit us to make sure the costs we reimburse are in accordance with the cost containment policies described in #1 above.
- c. Preparing Causality Statements:  
The information the state VR agencies present for validation review enables SSA to assess the appropriateness of its reimbursement policies. The information also helps SSA determine when and where we should consider changes to ensure we secure maximum benefits from VR services at the appropriate level of cost.

State VR agencies submit this information voluntarily to ensure SSA reimburses them for services. SSA collects the information on an on-going basis as VRAs submit claims for reimbursement. The respondents are State VR agencies offering vocational and employment services for SSA disability recipients.

## **3. Use of Information Technology to Collect the Information**

We have a secure Ticket Portal, which allows state VR agencies to electronically complete actions and report to SSA. We include the OMB approval (and public reporting burden) for the Ticket Portal approval under OMB Control No. 0960-0644. State VR agencies use the Ticket Portal to perform the majority of their actions and data sharing activities.

**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 obtain similar data.

**5. Minimizing Burden on Small Respondents**

This collection does not affect small business or other small entities.

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

If we collected this information less frequently, it would create insufficient oversight of costs claims; potentially lead to inaccurate payment of claims; and unnecessary delay reimbursement to state VR agencies for reasonable and necessary cost they incurred and for which they paid. We would also be unaware of State VR agency modifications affecting policies that could affect appropriate cost of VR services. Since we only collect this information when necessary, we cannot collect is 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 collection 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 November 9, 2018, at 83 FR 56133 and we received no public comments. The 30-day FRN published on January 25, 2019, at 84 FR 371. If we receive any comments in response to this Notice, we will forward them to OMB.

**9. Payment or Gifts to Respondents**

SSA does not provide payments or gifts to the respondents except as stated in item #13 below for cost reimbursement purposes.

**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**

The following chart summarizes the public reporting burden for the 80 state VR agencies in regards to the three types of responses SSA requests:

<b>Modality of Completion</b>	<b>Number of Respondents</b>	<b>Frequency of Response</b>	<b>Number of Responses</b>	<b>Average Burden Per Response (minutes)</b>	<b>Estimated Annual Burden (hours)</b>
a. Claiming Reimbursement on SSA-199 – 20 CFR 404.2108(b) & 416.2208(b)	80	160	12,800	23	4,907
b. Certifying Adherence to Cost Containment Policy and Procedures – 20 CFR 404.2117(c) (1)&(2), 416.2217(c) (1)&(2) & 34 CFR 361	80	1	80	60	80
c. Preparing Causality Statements – 20 CFR 404.2121(a), 404.2101(a), 416.2201(a), & 416.2221(a)	80	2.5	200	100	333
<b>Totals</b>	<b>80</b>		<b>13,080</b>		<b>5,320</b>

The total burden for this ICR is **5,320** hours. This figure represents burden hours and SSA calculated no separate cost burden.

### **13. Annual Cost to the Respondents (Other)**

SSA reimburses the respondents for costs incurred to complete this collection.

### **14. Annual Cost To Federal Government**

The annual cost to the Federal Government is approximately \$45,000. This estimate accounts for costs from the following areas: (1) designing, printing, and distributing the form; (2) SSA employee (e.g., field office, 800 number, DDS staff) information collection and processing time; and (3) systems development, updating, and maintenance costs.

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

There are no changes to the public reporting burden.

**16. Plans for Publication Information Collection Results**

SSA does not publish the results of the information collection.

**17. Displaying the OMB Approval Expiration Date**

OMB granted SSA an exemption from the requirement to print the OMB expiration date on its program forms. SSA produces millions of public-use forms with life cycles exceeding those of an OMB approval. Since SSA does not periodically revise and reprint its public-use forms (e.g., on an annual basis), OMB granted this exemption so SSA would not have to destroy stocks of otherwise useable forms with expired OMB approval dates, avoiding Government waste.

**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. Collections of Information Employing Statistical Methods**

SSA does not use statistical methods for this information collection.