

6/14/2018



Service Provider Foundations

Services and Supports Review



Introduction

START

Objectives

After completing this training, you should be able to:

1

Describe the services and supports review process

2

Conform to updated contact and documentation policies

3

Locate and complete an Employment Network (EN) Certification of Services (COS) form

4

Properly safeguard personally identifiable information (PII) by creating an encrypted zip file

Policy Changes

- A GovDelivery message was sent on May 3, 2018 regarding acceptable contact methods and documentation
- The new policy is a part of a review process called Services and Supports Review which replaces the Individual Work Plan (IWP) review process
- This training will detail the entire process and provide all of the specific details for meeting the new policy requirements as well as successfully participating in a Services and Supports Review

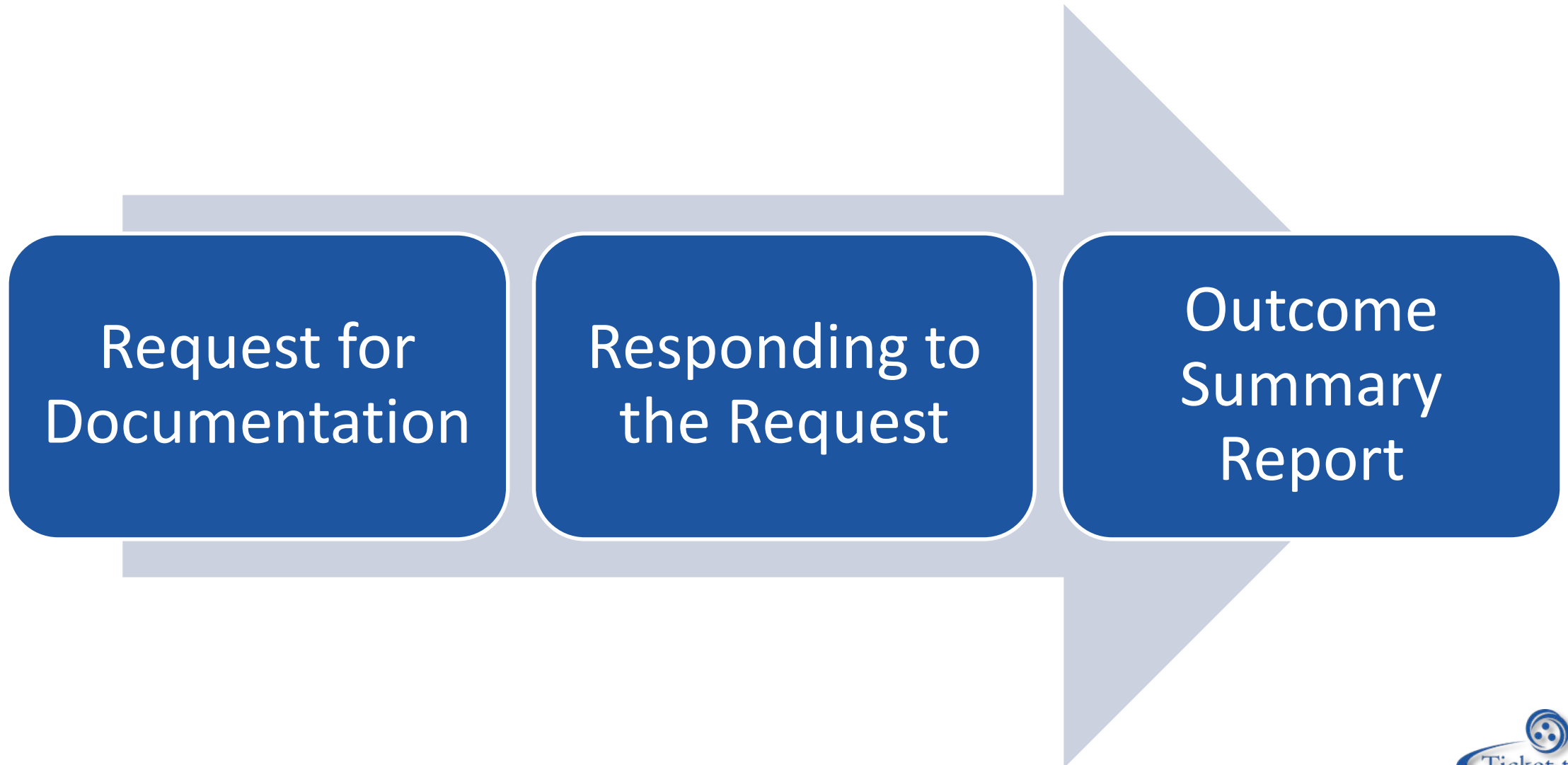
Overview of the Review Process

What is a Services and Supports Review?

- Review of EN documentation to verify that the EN is actively working with Ticketholders and providing the services and supports agreed upon in the signed Individual Work Plans (IWP)
- Every EN will go through a services and supports review on a yearly basis
- The Ticket Program Manager (TPM) will send a request for documentation from a random sampling of Social Security Numbers (SSN) currently assigned to the EN
- Documentation required includes:
 - Case notes with proof of ongoing contact and services and supports provided
 - IWPs
 - COS statements

Overview of the Review Process

The Process Flow





Request for Documentation

Overview of the Review Process

Receiving the Request

- An encrypted request form will be sent using the standard encryption pin to:
 - Signatory Authority
 - Program Contact
 - Ticketholder Contact
- The EN must respond within 9 business days with the requested documentation
- ENs are responsible for communicating internally to ensure only one individual responds to the request and does so in a timely manner

Request for Documentation

Opening the Encrypted Request Form

- Use your EN's encryption password to unlock the document
 - TTWE + the last 4 digits of your contract award code
 - Example: TTWE1234
- The request form will contain a list of SSNs and state at the top of the form to send:
 - IWP and COS
 - Only COS
- Always send case notes regardless of which version of the request you receive

Date Month day, year

Re: Services and Supports Review – Individual Work Plan (IWP) and Certification of Service (EN COS)

The Ticket Program Manager (TPM) is currently conducting a Supports and Services Review of your Employment Network (EN). You are receiving this correspondence as a request to submit IWPs, EN COSs, and any case notes you would like to include for the SSNs listed below. The EN COS form has been attached to the email for your reference.

1. XXX-XX-XXXX, Ticketholder Name
2. XXX-XX-XXXX, Ticketholder Name
3. XXX-XX-XXXX, Ticketholder Name
4. XXX-XX-XXXX, Ticketholder Name
5. XXX-XX-XXXX, Ticketholder Name

The requested documents should be submitted to TPM by (*send date plus 9 business days*). You may either password protect the documents and email them directly to the Program Integrity Inbox (ProgramIntegrity@yourtickettowork.ssa.gov) or fax them to 703-893-4020. When submitting, please send the documents to my attention to ensure they are received and reviewed in a timely manner. If faxing, please note that the documents are for "Services and Supports Reviews."

If you have questions or concerns, please do not hesitate to contact the Program Integrity department at ProgramIntegrity@yourtickettowork.ssa.gov. Your attention to this matter is greatly appreciated.

Failure to respond to this request within 9 business days will lead to escalation to the Social Security Administration Office of Employment Services Quality Assurance team for further action.

Respectfully,

Program Integrity Analyst Name

Program Integrity Analyst Name

Program Integrity Department

Ticket Program Manager

Ticket to Work Program

Responding to the Request

Case Notes

- When responding to the request, be sure to include any case notes that:
 - Provide proof of ongoing contact or documented contact attempts
 - Demonstrate services and supports provided, including dates
 - Provide evidence for information requested on the EN COS
- Make references to case notes on page 2 of the COS form instead of duplicating content
 - Only use references if the notes are clearly labeled by page number or file name
 - Include where on the page you are referencing (if applicable)

Mandatory Regular Contact

- ENs are required to maintain regular contact with all assigned Ticketholders
- For Ticketholders who are currently in the **Initial Support Phase**, contact should be made at least **monthly**
 - If you are unable to make contact, leave a phone message and document the process using the Telephone Message Documentation form
 - After **3 months** without contact, send a certified letter and document the process using the Certified Letter Documentation form
- For Ticketholders who are in the **Ongoing Support Phase**, contact should be made at least **quarterly**
 - If you are unable to make contact, leave a phone message and document the process using the Telephone Message Documentation form
 - After **6 months** without contact, send a certified letter and document the process using the Certified Letter Documentation form

Responding to the Request

Telephone Message Documentation

- A standard documentation form that can be used for telephone messages is located on yourtickettowork.ssa.gov
 - Select **Information Center** from the top menu
 - Select **Forms** from the left menu
 - Located under **Services and Supports** header
- Top portion of the form contains a scripted prompt that can be either left as a voicemail or a second form for leaving a message with an individual
 - The script is designed to prevent accidentally disclosing PII
- The bottom of the form contains fillable fields that can be used to document phone messages

SOCIAL SECURITY ADMINISTRATION		Telephone Message Documentation (05-2018)	
Maintaining Regular Contact – Telephone Message Documentation			
Employment Networks (EN) are required to maintain regular contact with Ticketholders, meaning at least once a month in the initial services phase and at least quarterly in the ongoing support phase. If you are unable to reach a Ticketholder, Social Security recommends leaving a voicemail message or a message with another person at the Ticketholder's contact number. Please use the language below, replacing the language contained in brackets [] with the correct information for your EN.			
Note: ENs must be careful not to divulge any personally identifiable information (PII) when leaving a voicemail or message with someone other than the Ticketholder. Use only a Ticketholder's last name when leaving a message.			
If leaving a voicemail:			
"Good [afternoon/morning/evening]! This is [EN Representative's Name] from [EN Name]. I am calling to speak with [Ms./Mrs./Mr. Doe]. We've met in the past and I'd like to speak with you about ongoing services I can offer. Please call me back at [EN Phone Number]."			
If leaving a message with another person:			
"Hi this is [EN Representative's Name] from [EN Name]. Please have [Ms./Mrs./Mr. Doe] call me back at [EN Phone Number]."			
Telephone Message Documentation			
Note: Please retain a copy of this section for your case notes.			
Ticketholder's Name		EN Representative's Name	
Number Called		Date (DD/MM/YY)	Time
Successfully Left Message <input type="checkbox"/> Yes <input type="checkbox"/> No		Name of Person Message Was Left With (if applicable)	
Notes			

Responding to the Request

Certified Letter Documentation

- Additionally, a standard documentation form is available for certified letters as well in the same location of yourtickettowork.ssa.gov
- Top portion of the form contains a template language for a certified letter
 - Be sure to keep receipts of the certified letter and delivery confirmation
- The bottom of the form contains fillable fields for documenting certified letters
- Both forms are optional methods for documenting mandatory regular contact

SOCIAL SECURITY ADMINISTRATION		Certified Letter Documentation (05-2018)	
Maintaining Regular Contact – Certified Letter Documentation			
<p>If an Employment Network (EN) has unsuccessfully attempted contact with a Ticketholder for three months in the initial services phase or two quarters (six months) in the ongoing support phase, Social Security requires that the EN send a certified letter to the Ticketholder. The letter must include a returned receipt request and the returned receipt should be retained in the file as part of the documentation of the attempted contact. The EN must clearly document the address used, date letter was sent, and if a response was received from the Ticketholder. Please use the language below on your EN's letterhead, replacing the language contained in brackets [] with the correct information for your EN.</p>			
Letter Template Language			
[EN Name]			
[DUNS]			
Date: [Month day, year]			
Re: Employment Services and Supports			
Dear [Ms./Mrs./Mr. John/Jane Doe],			
<p>[EN Name] has been attempting to contact you for several months regarding the employment services and supports you expressed interest in receiving. We outlined your initial employment goals and steps to accomplish these goals in your Individual Work Plan (IWP) that we jointly created on [insert IWP signature date]. We would like to assist you in accomplishing these employment goals, but we are unable to do so because we have not been able to contact you.</p>			
Please call us as soon as possible at [insert phone number and TTY number]. Your response is very important to us.			
Respectfully,			
[EN Contact Name]			
[Title]			
[EN Name]			
Certified Letter Documentation			
<p>Note: Please retain a copy of this section for your case notes. Don't forget to include a copy of the returned receipt request and any other evidence of mailing the certified letter.</p>			
Ticketholder's Name		Sender's Name	
[]		[]	
Address Used		Date Certified Letter Sent	
[]		[]	
Returned Receipt Received		Date Received, if applicable (DD/MM/YY)	
<input type="checkbox"/> Yes <input type="checkbox"/> No		[]	
Summary of Response (if applicable)			
[]			

What is an EN COS?

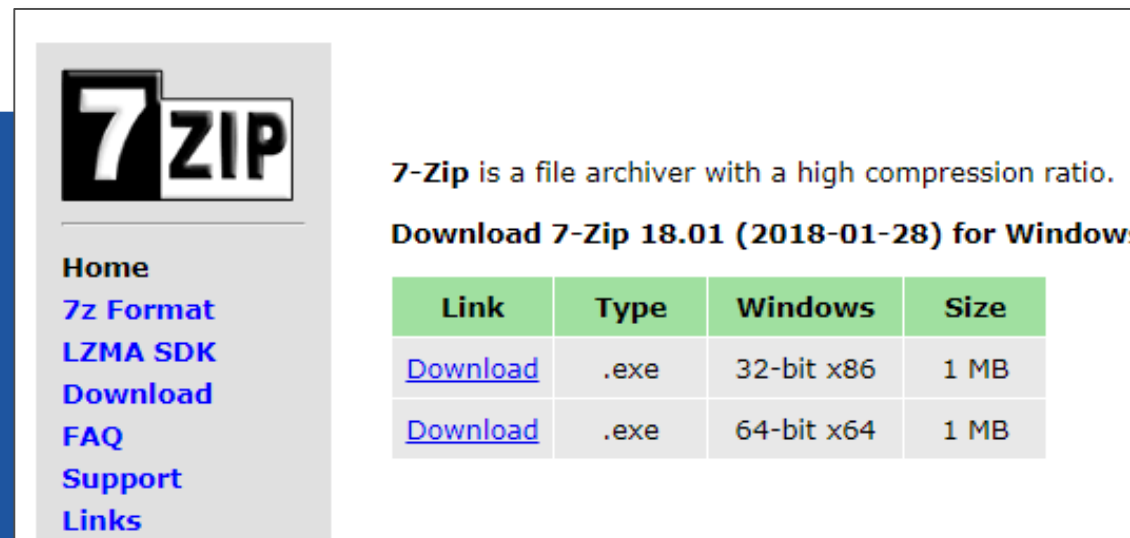
- ENs must occasionally complete an **EN Certification of Services (COS) Statement** to provide proof that the services and supports provided to Ticketholders align with the services agreed upon in an IWP
- The form must be submitted:
 - During random reviews of IWPs and documentation of services
 - To determine the number of claims eligible for ENs following a Ticketholder's unassignment of a Ticket
 - To perform Quality Assurance (QA) reviews as stated in the Ticket Program Agreement (TPA)
 - Remember to submit all 3 pages of the COS form
 - Page 3 of the COS form must be signed and dated

Safeguarding PII Prior to Sending a Response

- It is important to ensure that all files are encrypted before they are sent to TPM
- Since it is likely you will be sending multiple files at once, TPM has developed a simplified process for sending multiple encrypted documents simultaneously using a program called 7-Zip
 - The following slides contain step-by-step instructions for creating an encrypted zip file
 - Alternatively, organizations that already use WinZip can use WinZip to create encrypted zip files
- Be sure not to use PII in file names as file names can be intercepted during transit even if the files are located in an encrypted zip
 - Never encrypt the file names as most commercial email clients will mark the file as malicious and the file may never reach TPM

Creating an Encrypted Zip (1 of 5)

- 7-Zip can be used to create a secure, encrypted zip file
 - Free, open source program
 - The tool is available from 7-zip.org
- Using 7-Zip you can create an encrypted zip package, allowing the encryption of multiple files simultaneously



7 ZIP

Home
[7z Format](#)
[LZMA SDK](#)
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[FAQ](#)
[Support](#)
[Links](#)

7-Zip is a file archiver with a high compression ratio.

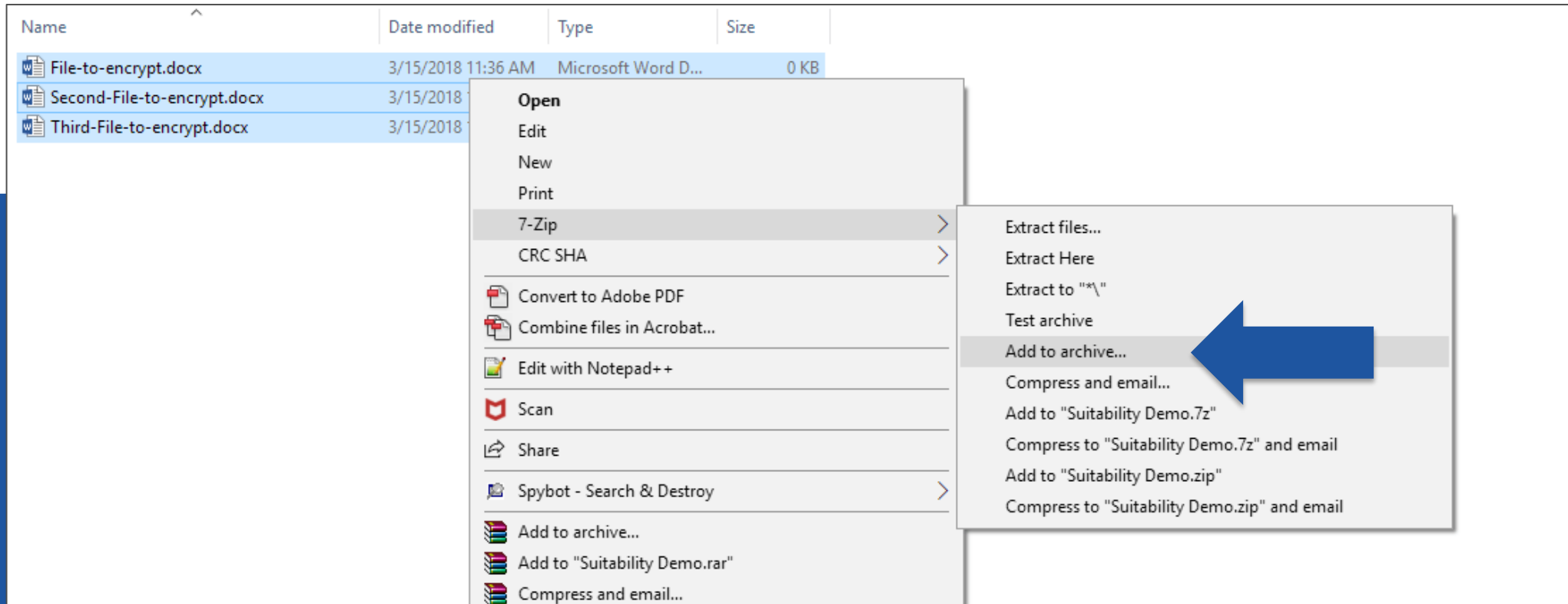
Download 7-Zip 18.01 (2018-01-28) for Windows

Link	Type	Windows	Size
Download	.exe	32-bit x86	1 MB
Download	.exe	64-bit x64	1 MB

Responding to the Request

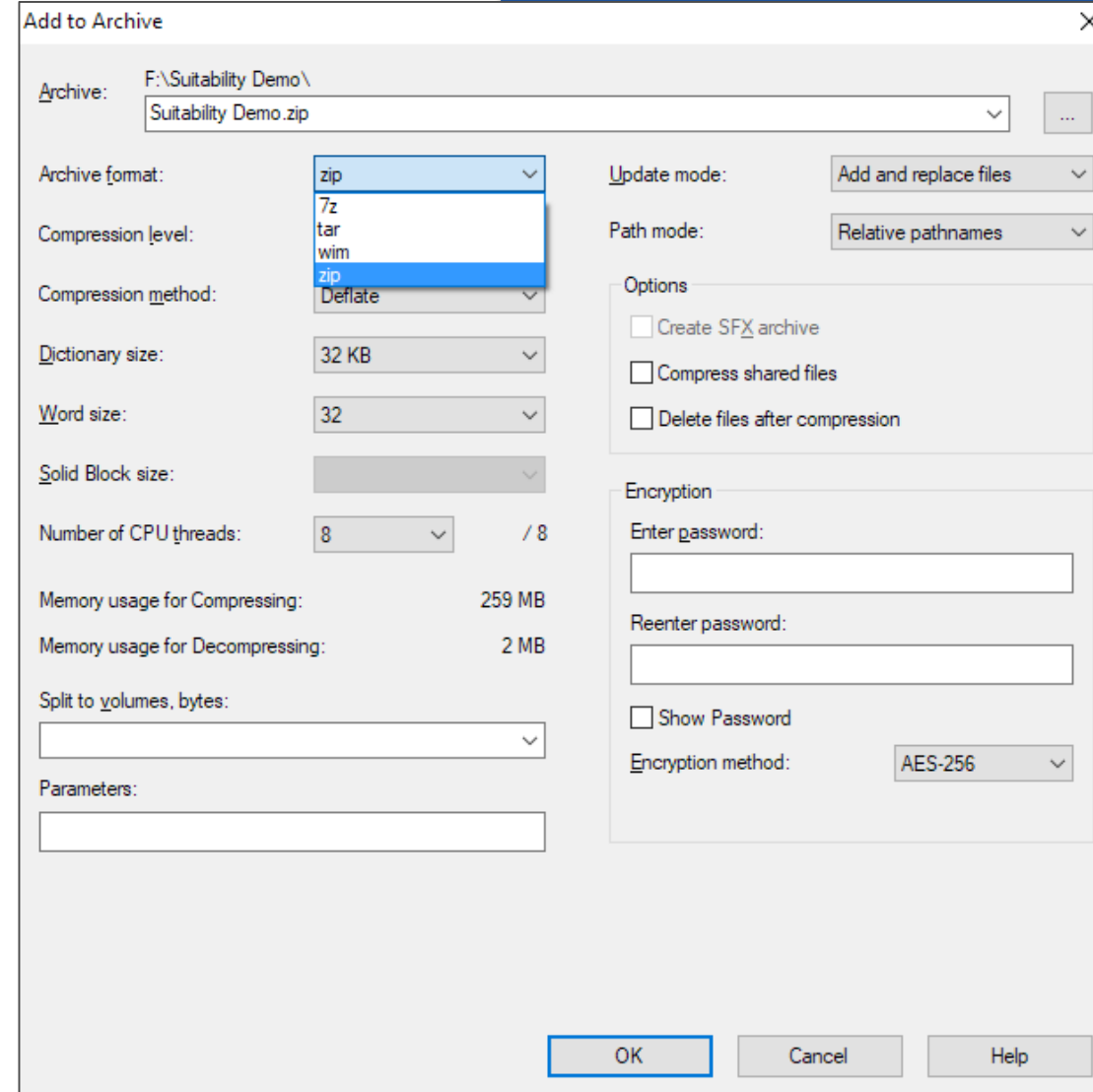
Creating an Encrypted Zip (2 of 5)

- Select all of the files you wish to encrypt, and then right click the files
 - Be sure to right click on a highlighted file name and not the white space
- Choose **7-Zip** from the context menu and then click **Add to archive**



Creating an Encrypted Zip (3 of 5)

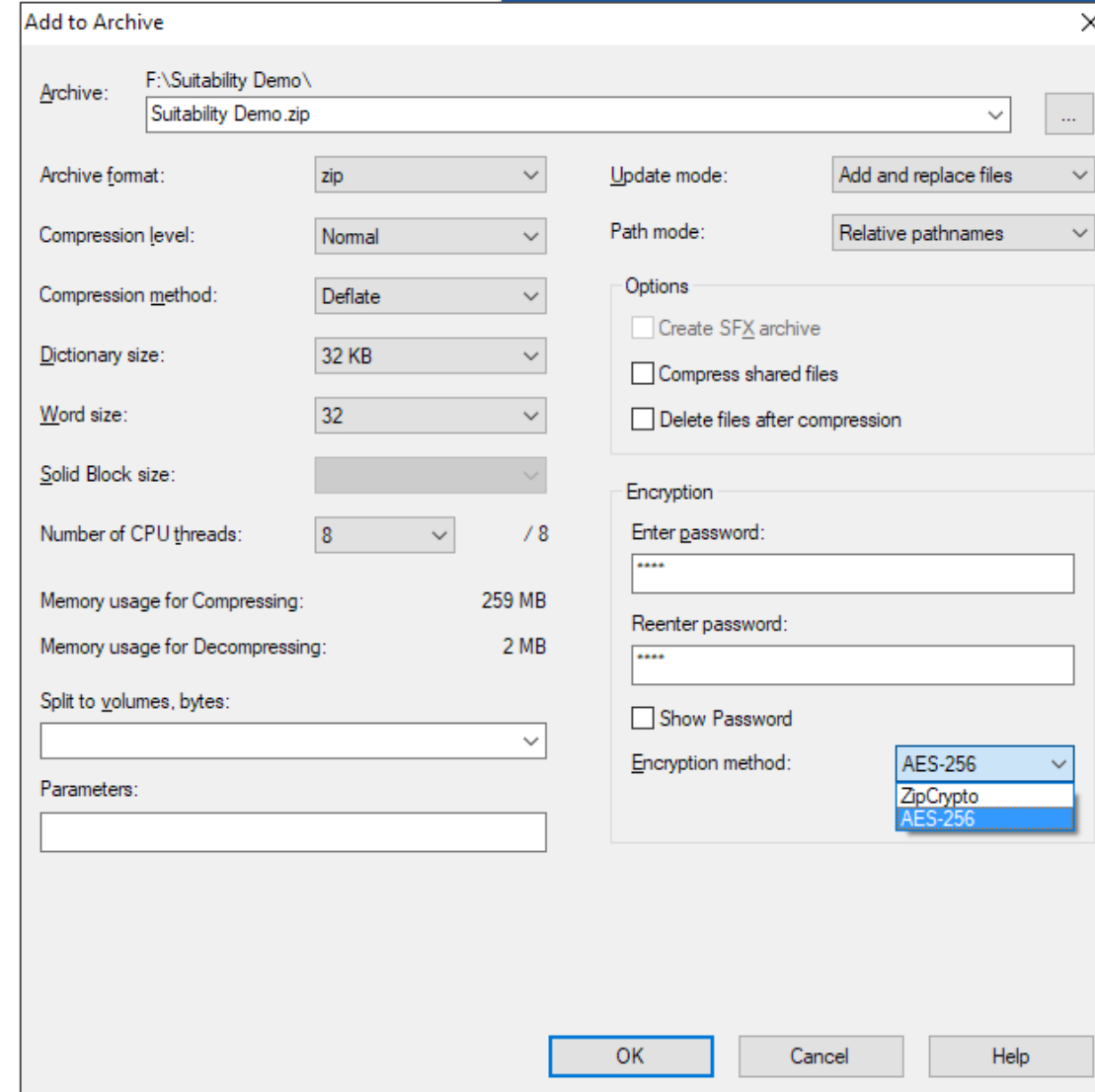
- First, select **zip** from the **Archive format** drop-down menu
- Next, click the text field directly above **Archive format** and re-name the file as desired
 - Be sure to leave **.zip** at the end of the file name



Responding to the Request

Creating an Encrypted Zip (4 of 5)

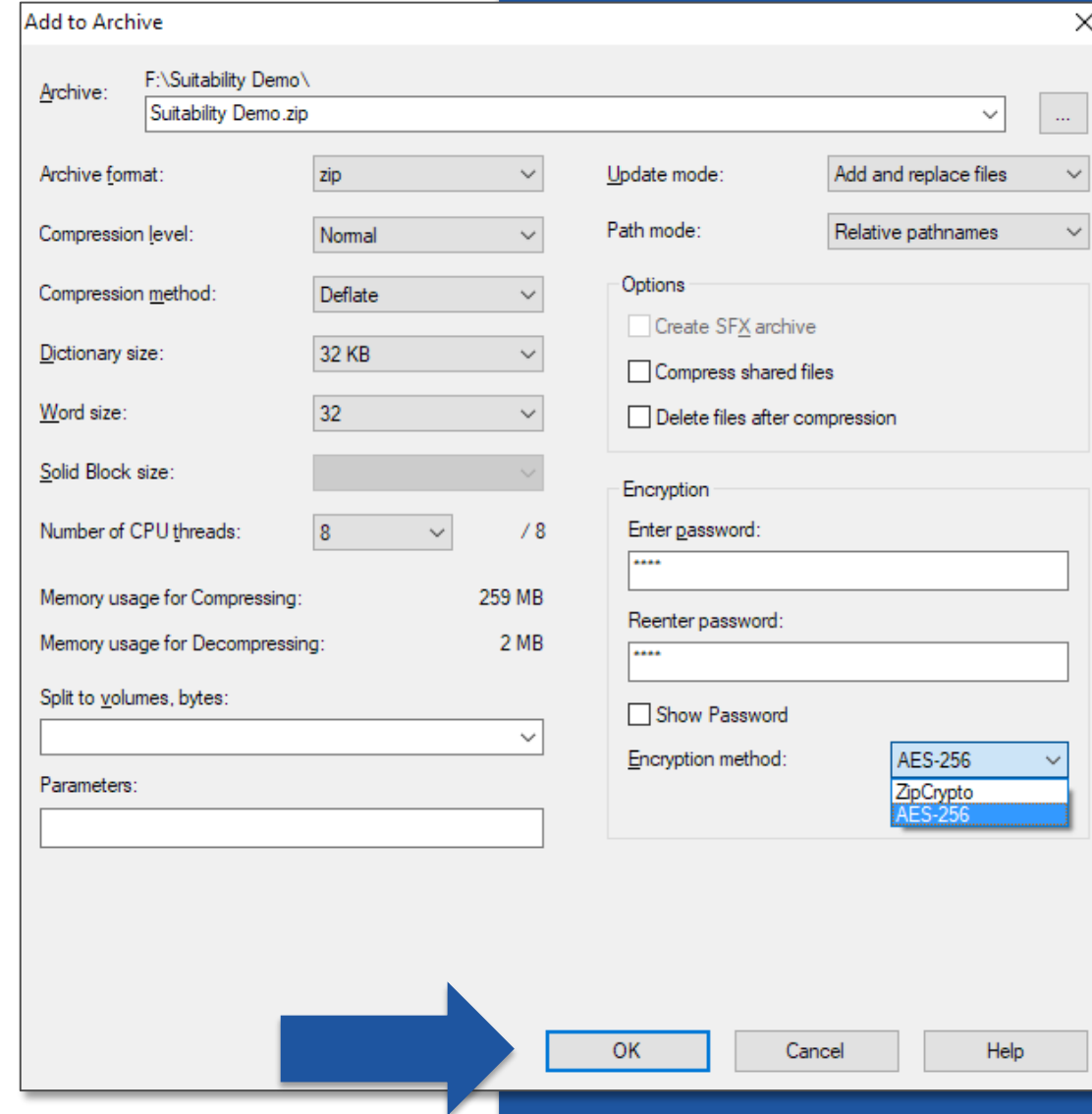
- Next, enter your agency's encryption password
 - Reminder: TTWE + the last 4 digits of your contract award code
 - Example: TTWE1234
- Confirm the password by entering it a second time
- Select AES-256 from the **Encryption method** drop-down menu



Responding to the Request

Creating an Encrypted Zip (5 of 5)

- Verify that the **Split to volumes, bytes** and **Parameters** fields are both empty
 - If there is any text in either of these fields, click on the text in the field and use the **backspace** key on the keyboard to delete
- Finally, click **OK**.
- The encrypted zip should be created almost instantly
 - Older computers may take a few seconds to a minute



Sending a Response to TPM

- Encrypted zip packages can be emailed to ProgramIntegrity@yourtickettowork.ssa.gov
- Documents can also be faxed to (703) 893-4020
 - **Attn:** Services and Supports Review

Outcome Summary Report

Outcome Summary Report Form

- After reviewing the documentation, TPM will provide ENs with a summary report form with a result for each SSN
- Each COS review will receive one of the following results:
 - Compliant
 - Incomplete Documentation
 - IWP Amendments
 - Service Related Problems
 - Noncompliant
- If IWPs were reviewed, a result will be listed as:
 - Compliant
 - Noncompliant – No technical assistance session (TAS) required
 - Noncompliant – TAS Required

Summary Report – Compliant

- All requested documentation submitted
- All signatures were included for both IWP and COS forms
- Services and supports provided match those agreed upon in the IWP
- Minimum mandatory regular contact is being maintained and documented with dates

Summary Report – Incomplete Documentation

- Not all requested documentation was submitted
 - At least one item was missing (either an IWP, COS, or case notes)
- The review cannot be fully completed
- **EN Action:** Submit all requested documentation to TPM within 5 business days
- This is similar to “Fail-incomplete” from the previous IWP report process
- Failure to respond to request will be escalated to Social Security for potential termination

Summary Report – IWP Amendments

- EN is actively working with Ticketholder and maintaining regular contact
 - The services and supports being provided do not match those listed in the IWP
- **EN Action:** IWP needs to be amended and submitted to TPM within 30 calendar days
- If no IWP received, the case will be escalated to Social Security and the review will be considered noncompliant

Summary Report – Service Related Problems

- EN is sporadically providing services and supports to Ticketholder
- Contact with the Ticketholder is inconsistent and does not meet the minimum mandatory contact requirements
- Attempted contacts are individual and documented in COS and case notes
- **EN Actions:**
 - Contact must be regained with Ticketholder and properly documented per new policy (see slide 13)
 - Services must be provided on a consistent basis and align with IWP
 - A technical assistance call with Program Integrity may be required to review IWP best practices

Summary Report – Noncompliant

- EN is unable to provide a completed IWP for the Ticketholder with a signature and date
- EN is not actively providing services and supports to the Ticketholder
- Contact has been lost with the Ticketholder
 - No contact for over a year
- No documentation is provided for contact attempts
- **TPM Action:** The case will be escalated to Social Security for further research and potentially Unassignment
- A follow up remedial review may be conducted to ensure that actions have been taken to correct issues across all Ticket assignments

Outcome Summary Report

IWP Compliance Results

- **Compliant:**
 - All requirements are met per TPA
 - All signatures are included
- **Noncompliant – No TAS Required**
 - Missing rights and remedies statements
 - Missing discussion modality
 - Missing business model
- **Noncompliant – TAS Required**
 - Missing required sections
 - IWP is not individualized
 - Missing signatures and dates
 - EN unable to provide IWP



Conclusion

Tips for Success

- ENs should regularly review Ticket assignment lists
 - Unassign Tickets for those Ticketholders you are not actively working with
- Open the review email as soon as you receive it to avoid a last minute rush to meet the 9 business-day timeline
- Double check to ensure all requested documents are submitted for each Ticketholder
- To simplify the review process, organize documents so that it is clear which documents apply to which SSNs
- Maintain thorough records and properly file documents to ensure quick retrieval of IWPs and case notes as well as completion of COS statements

IWP Best Practices

- Services and supports provided should match what is agreed upon in the IWP
- If the services and supports required have changed, it is important to amend the IWP
- An IWP is a living document that should grow and adapt to the changing needs of each individual Ticketholder
 - Both the EN and Ticketholder should sign or initial any IWP amendments
 - Services should be **individualized** to a Ticketholder
- IWPs should be written collaboratively between Ticketholders and ENs using language from the EN's perspective
- If you are not using the current IWP template, be sure to add:
 - Business model
 - Method of completion
 - Missing terms and conditions

Conclusion

Locating the IWP Form 1370

- ENs can either use a standard IWP form (Form 1370) or create their own template
- To find the standard IWP form:
 - Go to yourtickettowork.ssa.gov
 - Choose **Information Center** from the top menu
 - Choose **Forms** from the left menu
 - Choose **Form 1370** under **Ticket Assignment**

SOCIAL SECURITY ADMINISTRATION

**Ticket to Work Program
INDIVIDUAL WORK PLAN (IWP)**

Part One: Employment Network and Ticketholder Contact Information

1. Employment Network Name:

DUNS:

Address:

Telephone:

Email:

Business Model (Select one Ticketholder service model):

Traditional Services Consumer Directed Services Employer or Employer Agent

2. Ticketholder's Name:

SSN:

Address:

Telephone:

Email:

3. Ticketholder's Alternate Contact Name:

Relationship to Ticketholder:

Address:

Telephone:

Email:

Part Two: Documentation of EN-Ticketholder Discussion

Section 1: Discussion Arrangement

1. Date of Discussion:

2. Discussion Modality:


Face to Face Telephone Other (Explain)

Form SSA-1370 (03-2017) Page 1

Responding to the Request

Locating the EN COS Form

- To find the EN COS form:
 - Go to yourtickettowork.ssa.gov
 - Choose **Information Center** from the top menu
 - Choose **Forms** from the left menu
 - Choose **EN Certification of Services Statement** under the **Payments** heading



The screenshot shows the 'Employment Network (EN) Certification of Services (COS) Statement' form. At the top left is the 'Ticket to Work' logo. The form title is 'Employment Network (EN) Certification of Services (COS) Statement'. Below the title are several input fields for personal and contact information, each with a light blue background. The fields are: EN Name, DUNS Number, Ticketholder Name, Ticketholder SSN, Ticketholder Telephone, Ticketholder Email, and Ticketholder Address. At the bottom of the form are two date fields: 'Ticket Assignment Date' and 'Ticket Unassignment Date (if applicable)'. The form number 'F-PMT-7014 NEW EN Certification of Services Statement V02' is printed at the bottom left of the page.

 Ticket to Work

Employment Network (EN)
Certification of Services (COS) Statement

EN Name:

DUNS Number:

Ticketholder Name:

Ticketholder SSN:

Ticketholder Telephone:

Ticketholder Email:

Ticketholder Address:

Ticket Assignment Date:

Ticket Unassignment Date (if applicable):

F-PMT-7014 NEW EN Certification of Services Statement V02

Conclusion

Questions During the Process

- Find more information about IWPs at
 - <https://yourtickettowork.ssa.gov/web/ttw/individual-work-plan>
- For help with IWPs, contact the Provider Support Help Line
 - Hours: Monday – Friday, 9 a.m. – 5 p.m. ET
 - 866-949-3687
- Email questions about submitting an IWP through the Ticket Portal to ENSystemsHelp@yourtickettowork.ssa.gov
- All other questions regarding the services and supports review process can be directed to Ticket.QA@ssa.gov

Summary

You should now be able to:



Describe the services and supports review process



Conform to updated contact and documentation policies



Locate and complete an EN COS form



Properly safeguard PII by creating an encrypted zip file



**ASK MORE
QUESTIONS**

Questions?