

**PROMISE Recruitment,
Enrollment, and
Random Assignment
Procedures Manual**

April 9, 2014

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MATHEMATICA
Policy Research

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I. STUDY OVERVIEW¹

The Promoting Readiness of Minors in Supplemental Security Income (PROMISE) demonstration and evaluation is a joint initiative of the U.S. Departments of Education, Health and Human Services, and Labor and the Social Security Administration (SSA). The goals of PROMISE are to improve the provision and coordination of services and supports for youth Supplemental Security Income (SSI) recipients and their families. Ultimately, PROMISE aims to improve educational attainment, employment, and other outcomes for SSI youth and their families.

SSA has contracted with Mathematica Policy Research (Mathematica) to conduct an evaluation of the six PROMISE demonstration programs. Mathematica has subcontracted with BCT Partners to assist with the evaluation. This research procedures manual, produced by the Mathematica team, describes the procedures that will be used by the staff of the demonstration programs to implement the evaluation in their local areas.

We want to thank all those associated with PROMISE for their work in making the demonstration programs and this evaluation a success!

A. Design of the Evaluation

Six PROMISE programs have been funded to operate for five years. Each program will recruit and enroll a minimum of 2,000 youth SSI recipients and their families over a two-year period. One-half of the enrolled youth will be randomly assigned to receive PROMISE services (the **program group**) and the other half will be randomly assigned to receive the services that are usually available in their local areas (the **usual services group**). The random assignment of participants into the program and usual services groups will allow Mathematica to assess whether PROMISE leads to better outcomes for program group participants. Mathematica will provide technical assistance to the PROMISE programs for recruitment, enrollment, and random assignment of youth.

B. Organization of This Manual

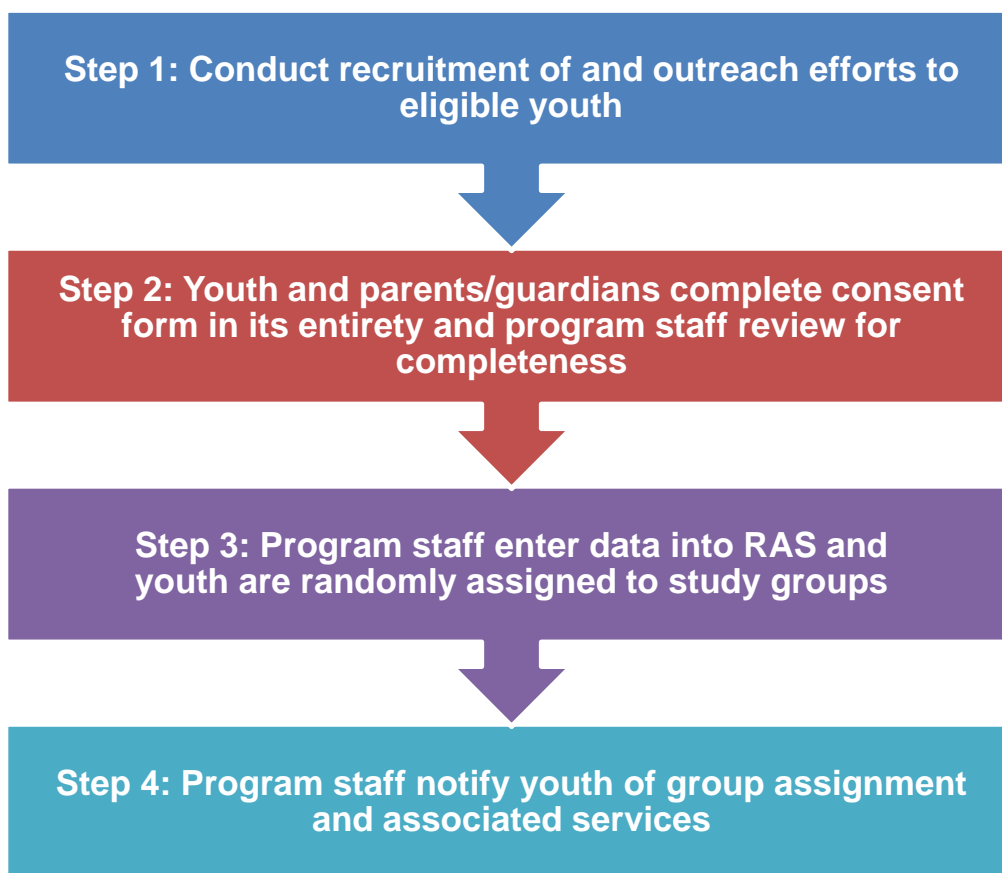
Following this overview chapter, this manual outlines the four steps that staff members of the [name of local area] PROMISE program will follow to implement recruitment, enrollment, and random assignment activities for the PROMISE evaluation. The manual includes a separate chapter on each step with detailed instructions and accompanying forms and tools, such as suggested scripts for talking to youth and families. Following the step-specific chapters, the manual presents information on data security procedures, support that will be available from the national evaluation team during study enrollment, and a description of other evaluation activities. The manual also includes appendices with additional materials and information about PROMISE recruitment, enrollment, and random assignment.

¹ See Appendix A for more information about the PROMISE evaluation study rationale, sponsoring organizations, PROMISE grantees, research aims and design, and the role of Mathematica as the national evaluator. This information also appears in a PowerPoint presentation format in Appendix B.

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II. STUDY RESEARCH PROCEDURES: THE FOUR KEY STEPS

There are four key steps for the recruitment, enrollment, and random assignment of SSI youth into the PROMISE evaluation. A youth will enter the evaluation in one of two ways: (1) he/she may be invited to apply via a letter, phone call, or other solicitation from the program or (2) he/she may hear about the program elsewhere and proactively initiate contact with program staff (Step 1). The youth and his or her parent or guardian will complete a program consent form in its entirety before entering the evaluation. Program staff will review this form for completeness (Step 2). Program staff will enter the data into the Random Assignment System (RAS) and the youth will be randomly assigned to a study group (Step 3). Finally, program staff will notify the youth and family of the group assignment and the associated services (Step 4).



STEP 1: CONDUCT RECRUITMENT OF AND OUTREACH EFFORTS TO ELIGIBLE YOUTH

1.1 Develop the Recruitment Approach

The PROMISE programs are encouraged to use **direct mailings of letters** to eligible youth and their families as the primary recruitment method. Templates for the program outreach letter can be found in Appendix C. Other recruitment and outreach methods may include:

- Social media campaigns
- Program newsletters
- Presentations to agencies and organizations
- Websites
- Public service announcements
- Press releases

[Evaluation Site Liaisons should customize the recruitment approaches in their sites.]

1.2 Develop the Means to Track Outreach Efforts

For purposes of following up with potential participants and assessing the effectiveness of particular outreach efforts, PROMISE programs are encouraged to **track the mailing of outreach letters** to a youth and his/her family, and follow up efforts to recruit and enroll the youth. Programs may include this tracking function in the PROMISE management information system (MIS) they develop, or use a separate tracking system. Other recruitment and enrollment actions that would be useful to track and document include:

- Date letter was mailed
- Whether an outreach letter was returned as undeliverable
- When follow-up phone calls were conducted
- Whether the youth or family refused to enroll
- Updates on the status of PROMISE-eligible youth in your program's service area, based on the updated lists that will be provided by SSA (described further in Step 1.3)

The tracking system should be designed so that program staff can easily use it to monitor the recruitment process by generating reports on the number of youth who were sent outreach letters or solicited in other ways, and the outcomes of those outreach efforts.

[Site Liaisons should describe the local recruitment tracking system.]

1.3 Using SSA Lists of Eligible SSI Youth to Recruit Participants for the PROMISE Study

SSA will begin providing lists of eligible SSI youth to the PROMISE programs when an MOU between SSA and the PROMISE program has been agreed to, which will likely be no earlier than February 2014. Updated lists will be provided every six months.

Mathematica will assign each youth on the SSI lists a unique study identification number (study ID) that will follow him or her throughout the study period. These unique study IDs will be provided to PROMISE programs in lieu of Social Security numbers (SSNs) for study tracking and identification purposes.

SSA will deliver the SSI lists to the programs in the form of Excel files through Government-to-Government Services Online (GSO), a secure electronic transmission method (Program Managers and Administrators should reference Appendix D for instructions on using GSO). The lists of eligible SSI youth should be incorporated into your outreach/recruitment tracking system.

Appendix E identifies the participant information fields that will be included on the SSI lists. Guidance on using the SSI lists is provided below. Your program can request additional assistance with the SSI lists from Mathematica if you encounter any difficulties using them.

To ensure that the PROMISE programs maintain control over the recruitment process and that staff make adequate efforts to contact eligible cases, it is recommended that the programs *gradually* release cases in batches from the SSI lists to their recruiting staff to conduct the outreach efforts. Conducting outreach over time with subsets of all eligible youth, rather than with all eligible youth at one time, will make it easier for the programs to document their outreach efforts, focus their efforts effectively, and increase the likelihood that the programs reach their enrollment targets.

1.3a Community Outreach, Recruitment and Enrollment

[Site Liaisons should customize this section if a site has determined its own way of collecting youth information during community outreach events.] The PROMISE programs will determine their own procedures for distributing recruitment packets at community outreach events and for securely collecting data on youth who sign up for the PROMISE program at these events. One suggested method for collecting this information is as follows:

- Use an index card rather than a sign-in sheet to collect a youth's name and date of birth (DOB). A sign-in sheet would be visible to non-program staff, whereas an index card can be kept confidential. Program staff would collect and securely store the index cards.
- Provide a recruitment packet (including a program consent form) to all participants who are believed to be eligible. The enrollment materials provided in the packet may be completed at the community outreach event or taken home and returned to the program in person or via an addressed postage-paid envelope in the packet.
- Update the recruitment tracking system. After returning to their desks, staff members search the recruitment tracking system by name and DOB, and record the outreach event for all matched cases, but not for unmatched cases.
- Enter completed consent forms into the RAS for enrollment and random assignment.

- Program staff may follow up through other recruitment methods with youth and families who attended the outreach event but did not complete an enrollment package.

1.3b Correcting Undeliverable Addresses

As noted above, direct mailing of recruitment letters to youth on the SSI lists is envisioned as the primary recruitment method. Many recruitment letters may be returned to the PROMISE programs because of outdated or incorrect address information on the SSI lists. Program staff can use the following methods to obtain current addresses:

- ***For school-based PROMISE programs.*** Program staff may ask the schools or school district to verify the addresses and provide updated contact information, if available. Additionally, PROMISE program staff can search the available records of participating partners (such as Medicaid or Vocational Rehabilitation) to obtain updated contact information.
- ***For non-school-based PROMISE programs.*** Program staff may ask other participating partners to review their records for updated contact information. Additionally, Mathematica can provide program staff with guidance on conducting Internet searches to obtain updated contact information. This might include using services such as People Finder or Accurint, companies that specialize in finding individuals' current contact information. People Finder offers free searches based on a person's name, age, address, and/or phone number. Accurint offers a wide range of services including in-depth searches for specific individuals, batch searches based on a list of names, historical mailing and phone numbers, deceased indicators, reverse phone searches, and social network searches. Prices and results for these services differ. Mathematica can provide instructions for formatting the required input data for Accurint locating requests.

1.4 Using Updated SSI Lists

1.4a Process for Using Updated SSI Lists

SSA will provide updated lists of eligible SSI youth in July 2014, January 2015, and July 2015. The updated lists will reflect changes in the PROMISE-eligible population during the recruitment period. These changes might include:

- Youth entering or exiting the eligible age range
- Youth moving into or out of the PROMISE service delivery areas
- Youth beginning or ending the receipt of SSI (including due to mortality)

Each list will include a cumulative snapshot of PROMISE-eligible and ineligible youth at the time it was created. Updated lists will compare youth on the new list with youth on the previous list(s) and will include a current status code that will indicate what action(s) should be taken, as shown in Table II.1.

Table II.1. Status Codes and Actions to Be Taken for Updated SSI Lists

| Status Code | Definition | Action(s) to Be Taken |
|-------------|--------------------------|--|
| 1 | Eligible, not enrolled | Begin or continue recruitment efforts unless refused/opted out of study |
| 2 | Ineligible, not enrolled | Cease or do not begin recruitment efforts |
| 3 | Enrolled | Continue to deliver services, update contact information in program MIS if necessary |

In addition to including youth within the eligible age range, 14 to 16, the lists will also contain eligible youth ages 13 through 16.99. Program staff planning an outreach approach should be aware of the ages of youth who are contacted during the recruitment period. To facilitate this process, Mathematica will insert a column for first and last date that a youth is age-eligible for PROMISE. These fields will be included for youth assigned to status code 1. Random assignment will not occur if an applicant's age is outside the allowable range (14 to 16) when that data are entered into the RAS. Program staff should refer to their MIS to inform their recruiting process (see section 1.2 above).

The PROMISE programs should use the RAS to monitor their progress toward their enrollment targets. In addition, Mathematica's Site Liaisons will inform the PROMISE programs when they are nearing their targets and when they have reached them. [Site Liaisons should customize for what each program decides to do when enrollment target has been reached (that is, all eligible youth receive PROMISE services or no one else receives PROMISE services).]

1.4b Youth who move during the study period

If program staff are informed that a PROMISE program group youth and his or her family plans to move to another PROMISE service delivery area, they should take the following actions to support coordination of services:

- Provide the youth and his or her family with contact information for program staff in the new service delivery area.
- Contact their counterpart in the new service delivery area to inform them that a program group youth will soon be entering the area.

If a youth moves to a non-service delivery area but is either able to manage the logistics or participate in services remotely, they can continue to receive PROMISE services.

STEP 2: YOUTH AND PARENT/GUARDIAN COMPLETE CONSENT FORM

A youth and a parent or guardian will complete a consent form, similar to that found in Appendix F, and sign the form to indicate their consent. Appendix G contains answers to questions about the PROMISE study that youth and parents/guardians may need to make their consent decisions.

2.1 Obtain Youth and Parent/Guardian Consent

Youth and parent/guardian consent is required for a youth to participate in PROMISE.

Youth and their parents/guardians may complete the form in person at a PROMISE office or community event, or at home.

- **Completing the consent form in person.** Recruiters are free to administer the form to a youth rather than ask him or her to complete it if that is necessary due to the youth's inability to read the form. However, both a youth and a parent or guardian must sign the consent form. A youth or parent/guardian who initiates the enrollment process in person may take the form home to complete it and then mail the signed consent form back to the PROMISE office or return it in person.
- **Completing the consent form at home.** The youth may contact [insert program-specific contact information] for additional information regarding participation in the PROMISE program. The completed consent form will be returned to [insert program-specific person or agency. Also elaborate if programs propose a specific process for returning consent forms].

2.1a Withdrawal from the Study

If a youth and parent/guardian enroll in the study and then later decide that they no longer want to participate, they must submit a written letter to the PROMISE program director requesting to withdraw. The program director will inform Mathematica of any withdrawals. Upon notification, the PROMISE program and Mathematica will cease attempts to contact the youth to participate in program services and data collection.

In cases where a youth formally withdraws from the program after having been randomly assigned to a study group, there is no need to attempt to recruit an additional youth to replace a youth who withdraws. The youth that withdraws from the PROMISE program after random assignment is still counted in the enrollment target.

2.1b Refusal to Provide Consent

If either a youth or a parent/guardian refuses to sign the consent form (and thus, does not consent to participate in PROMISE), program staff should inform them that they will be able to access all services usually available in their local areas (but not PROMISE services). If a youth or parent/guardian refuses to consent, we recommend that programs note this in their recruitment tracking systems and cease efforts to enroll that applicant.

If a youth or parent/guardian initially refuses to provide consent but later changes his or her mind, he or she may contact the PROMISE program and complete the consent form to be assigned to one of the study groups, if enrollment for PROMISE has not yet ended.

[Note to liaisons: Programs may choose to offer a refusal (study opt-out) form that would be used to remove youth from any future recruitment efforts. If such a form will be used, provide a description of that form and the process of completing and receiving that form here.]

2.2 Review the Consent Form to Ensure That It Is Completely and Correctly Filled Out

The consent form must be completed before random assignment can occur. This will ensure that the evaluation team obtains a comprehensive set of contact information for the applicant and one parent/guardian.

Program staff must review the consent form for completion and obtain any missing information from the youth or parent/guardian.

Once the consent form is completed, program staff will enter information from it into the RAS.

STEP 3: ENTER INFORMATION INTO THE RAS

The PROMISE random assignment system was created to perform the random assignment of enrolled youth into either the program group or the usual services group. The RAS will be used to (1) verify eligibility for PROMISE, (2) gather contact information on youth and their parent/guardian, (3) conduct automated validation checks on the data entered, (4) check that a youth has not previously been randomly assigned, (5) conduct random assignment (or assignment to a previously enrolled sibling's group), and (6) produce reports on recruitment and enrollment progress.

3.1 Log in to the RAS

Before you can access the RAS, your program administrator will need to create an account for you. Once your account is set up, you will be sent an account creation email to invite you to use the system. You should click on the link in the email to validate your email address. Your email address will serve as your username and is not case sensitive. You will then be prompted to create a secure, case-sensitive password that is at least eight characters long and contains at least one letter, one number, and one special character (such as !, @, #, \$, or %). Once a password is created, the link in the original account creation email will no longer be valid.

The RAS login page (Screenshot 3.1) will appear. Enter your username (email address) and password and then click on the “sign-in” button. You will then begin the multifactor authentication process. Depending on the method you choose, you will either receive a text message with a six digit numeric code that you will have to text back to the sender or a phone call that will prompt you to press the # key.

Screenshot 3.1 RAS Login Page

PROMISE

Log in

Contact

Log in.

WARNING: FEDERAL RESTRICTED-USE DATA. UNAUTHORIZED ACCESS IS A VIOLATION OF FEDERAL LAW AND WILL RESULT IN PROSECUTION.
The use of this system is monitored. By accessing this system, I agree that:

- I am responsible for all information accessed using my account and for safeguarding personally identifiable information and any federal agency data I may access via this system.
- I will not access, transfer, alter, or copy any federal agency data, software, or any other part of this system without authorization.
- I may be subject to criminal prosecution, civil penalties, or disciplinary actions for unauthorized access or misuse of information or federal agency data in this system.

User name

Password

Log in

[Forgot your password?](#)

If you have forgotten your password, click on the “Forgot your password?” link. You will receive an email with a link to change your password. You must complete the password change and log in within 15 minutes or the link will become inactive and your account will be locked.

If you enter the wrong password three times, your account will be locked. After each unsuccessful log in, you will be reminded of how many attempts remain before you are locked out of the system. You will then need to contact your supervisor to reset your password. Once your password is reset, you will receive an email with a link to create a new password. You must create the new password and log in within 15 minutes or the link will become inactive.

After you successfully log in, the RAS will automatically take you to the welcome page (Screenshot 3.2). To prevent access to the RAS by unauthorized users, the system will automatically log you out after 20 minutes of inactivity. Be sure to save your work regularly by clicking the “Save Draft” button located at the bottom of the RAS data entry page (Screenshot 3.7), which will let the RAS know that you are still active and will prevent any unsaved changes from being lost if the RAS logs you out. Additionally, the system will auto save any work on the “Enroll Youth” page every five minutes to avoid the loss of data entered by program staff. If you are logged into the RAS for two hours, you will be automatically logged out and need to log in again. You will see a countdown clock in red text at the top of the page 15 minutes prior to the automatic two-hour log out.

Screenshot 3.2 RAS Welcome Page

PROMISE Hello, amccutcheon@mathematica-mpr.com! [Log off](#)

[Home](#) [Enroll Youth](#) [Find Youth](#) [Reports](#) [Users](#) [Contact](#)

Welcome.

Welcome to the PROMISE Random Assignment System.

The PROMISE random assignment system (RAS) will perform the random assignment of eligible youth into either the program group or the usual services group. For [detailed instructions](#) on using the RAS, please [click here](#). If you have any questions about the PROMISE Random Assignment System please [contact us](#).

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Users will have access to the system on a need-to-know basis. Depending on your user level, you may be restricted from viewing certain items on the top menu bar and/or data from the “Find Youth” menu. For example, counselors and supervisors in a single program will only be able to view detailed information for youth enrolled in their local area. State administrators will be able to run reports and manage user accounts.

3.2 Enter Information from the Consent Form

Click on the “Enroll Youth” link on the menu at the top of the screen (Screenshot 3.3). (This menu will appear on nearly all pages and can be used to navigate around the website.)

Screenshot 3.3 Enroll Youth Participant Link

PROMISE Hello, amccutcheon@mathematica-mpr.com! [Log off](#)

[Home](#) [Enroll Youth](#) [Find Youth](#) [Reports](#) [Users](#) [Contact](#)

This will take you to the eligibility validation screen (see Screenshot 3.4). You will be prompted to enter the applicant’s SSN and DOB first to confirm that he or she is eligible for PROMISE.

Screenshot 3.4 Eligibility Validation Screen

PROMISE Hello, amccutcheon@mathematica-mpr.com! [Log off](#)

[Home](#) [Enroll Youth](#) [Find Youth](#) [Reports](#) [Users](#) [Contact](#)

Enroll Youth.

Youth's social security number

Date of birth

[Continue](#)

© 2014 - PROMISE RA0

The applicant's SSN and DOB will be compared with those of all eligible youth. If eligibility cannot be confirmed based on the applicant's SSN and DOB, you should verify that the information you entered is correct. Once you confirm with the applicant and parent/guardian that the information is correct, if eligibility is still not confirmed you should inform them that they are not eligible for the PROMISE program at this time. If a youth and their family informs you that they recently began receiving SSI benefits, please try the case again in a few weeks when you are informed that the master list has been updated. Mathematica will update the master list once per month with newly eligible youth, and will send a message to program directors informing them that the list has been updated.

The applicant's SSN and DOB will also be compared with those of all previously enrolled youth. If the applicant is found to be already enrolled in PROMISE, an error message will inform you that he or she has already been randomly assigned to a study group. If the individual is eligible and not already enrolled in PROMISE, you will be brought to the RAS data entry page.

When eligibility is confirmed, you will be brought to the RAS data entry page (see Screenshot 3.5). The two initial fields (SSN and DOB) and the applicant's name will be pre-populated. Additionally, the pre-determined unique study identification number will be displayed on the screen.

Screenshot 3.5 RAS Data Entry Page

Enroll Youth. Study ID 10063

Program: NYS PROMISE State: New York Region: Arizona (statewide)

Youth Participant

| | |
|--|---------------------------------|
| Jack Youth's first name | Telephone No. (cell phone) |
| MI Donaghy Youth's last name | Telephone No. (land line) |
| <input type="checkbox"/> Youth signed consent form. | E-mail address |
| Date of consent 444-44-4062 Youth's social security number | Facebook username |
| 3/3/1998 Date of birth | Residential or mailing address: |
| Gender: <input type="radio"/> Male <input type="radio"/> Female | Address line 1 |
| | Address line 2 |

Enter the relevant data from the consent form into the RAS. Table II.2 contains a list of required and optional fields. Though some fields are not required, we recommend that program staff try to obtain as much information as possible from the youth and their parent/guardian.

Table II.2. Required and Optional Fields for Random Assignment

| Required Fields for Random Assignment | Optional Fields |
|--|--|
| Youth Data Fields | |
| Youth first name | Youth middle initial |
| Youth last name | Youth email address |
| Youth signature | Youth Facebook username |
| Date of youth signature | Youth address line 2 |
| <i>At least one</i> telephone number for youth ^a | |
| Youth Social Security number | |
| Youth date of birth | |
| Youth gender | |
| Youth address line 1 | |
| Youth city/state/zip | |
| Region ^b | |
| Parent/Guardian Data Fields | |
| Parent/guardian first name | Parent/guardian middle initial |
| Parent/guardian last name | Parent/guardian email address |
| Parent/guardian signature | Parent/guardian Social Security number |
| Date of parent/guardian signature | Parent/guardian address line 2 |
| <i>At least one</i> telephone number for parent/guardian ^c | |
| Parent/guardian date of birth | |
| Parent/guardian gender | |
| Parent/guardian address line 1 | |
| Parent/guardian city/state/zip | |
| Sibling Data Fields | |
| Does the youth have a sibling who enrolled in the study at an earlier date (Yes/No)? | [If Yes] Sibling's middle initial |
| [If Yes] Sibling's first name | |
| [If Yes] Sibling's last name | |
| [If Yes] Sibling's Social Security number | |
| [If Yes] Sibling's date of birth | |

^aA youth who does not have a telephone number or address may report the phone number or address of his or her parent/guardian, neighbor, relative, friend, school, doctor, etc. This can be recorded in the RAS as the youth's own phone number or address.

^b A program staff member who has a RAS account that covers multiple regions will be required to enter the region of each individual who is enrolled. It is recommended that each program develop a lookup list of zip codes by region to facilitate this process.

^cA parent/guardian who does not have a telephone number or address may report the phone number or address of a neighbor, relative, friend, etc. This can be recorded in the RAS as the parent/guardian's own phone number or address.

If any implausible or unlikely information is entered, the system will alert you to the issue. A message describing each issue will be displayed in red text at the top of the screen and/or next to the field in question. Screenshot 3.6 provides an example of an error in which an invalid email address was entered. The system will also alert you to any missing data fields if you attempt to conduct random assignment without entering data into all of the required fields. You will be permitted to proceed with random assignment if optional fields are left blank.

Screenshot 3.6 Error Message (Invalid Email Address and Missing Fields)

Program: NYS PROMISE State: New York Region: Arizona (statewide)

Youth Participant

Jack
Youth's first name

MI

Donaghy
Youth's last name

Youth signed consent form.

* required
Date of consent

444-44-4062
Youth's social security number

3/3/1998

One phone number is required.
Telephone No. (cell phone)

One phone number is required.
Telephone No. (land line)

jd@gmail
Please enter a valid email address.
E-mail address

Facebook username

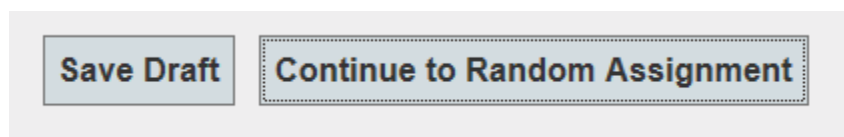
Residential or mailing address:
 * required
Address line 1

Based on the information provided on the consent form, the RAS will match the SSN and DOB of an applicant's sibling (if one is noted on the form) against the SSNs of all previously enrolled youth. If no match is found, the RAS will ask you to confirm that the sibling information is accurate before proceeding to the next step. If an applicant's sibling data match those of a previously enrolled youth, the applicant will be assigned to the same study group as the sibling.

If no sibling is noted on the consent form, the SSN and DOB of the applicant's parent/guardian will be compared with those of the parents/guardians of all previously enrolled youth. If a match is found, indicating that a sibling previously enrolled, the applicant will be assigned to the same study group as the sibling.

3.3 Random Assignment of Youth to the Program Group or the Usual Services Group

The RAS will automatically assign a youth applicant to either the PROMISE program group or the usual services group. When you finish entering the information from the consent form, click on the "Continue to Random Assignment" button located at the bottom of the page (Screenshot 3.7). The RAS will then save the case and check that all required data have been entered without errors. You may also click the "Save Draft" button at any time if you need to step away from your computer and cannot complete random assignment at that time. It is recommended that you save data frequently so they are not lost upon automatic log-off after two hours. Saving data frequently will also signal to the RAS that you are still working and prevent it from logging you off after 20 minutes of inactivity.

Screenshot 3.7 Save Draft and Save and Continue with RA Buttons (at bottom of Enroll Youth Screen)

If all required data have been entered and there are no identifiable data errors, the RAS will assign the youth applicant to one of the two study groups: (1) the PROMISE program group or (2) the usual services group (Screenshot 3.8).

Screenshot 3.8 Results Screen

The screenshot shows the PROMISE web application interface. At the top left is the 'PROMISE' logo. To the right, there is a user greeting: 'Hello, amccutcheon@mathematica-mpr.com!' and a 'Log off' button. Below the header is a navigation menu with links for 'Home', 'Enroll Youth', 'Find Youth', 'Reports', 'Users', and 'Contact'. The main content area is titled 'Youth summary. Study ID 10062' and contains the following information:

- Random assignment completed.*
- Program: NYS PROMISE State: New York Region: Western New York
- Name: Lemon, Liz
- Status: random assignment complete
- RA Group: Usual Services
- Assignment Date: 1/6/2014

Below the summary, there are three links:

- [Go to youth information](#)
- [Go to original enrollment](#)
- [Generate notification letter](#)

At the bottom left of the page, it says '© 2014 - PROMISE' and at the bottom right, it says 'G3'.

If you need to put an applicant through random assignment and the RAS system or the Internet is unavailable, you should contact the RAS Help Desk, as follows:

- By email at PROMISEHelpDesk@mathematica-mpr.com
- By phone at 855-776-6443 from 8:00 a.m. to 8:00 p.m., Eastern time. Please leave a voice message with your name and number and your call will be returned as soon as possible.

Please *do not* include any personal information about a specific youth (e.g., names, DOBs, SSNs) in email or voice messages.

3.4 Updating Youth Contact Information

If a youth's address and/or phone number have changed, this information should be updated in your program's PROMISE MIS. A program may also opt to update this information in the RAS, but this is not required. If updated information will only be maintained in your program's PROMISE MIS, then Mathematica may occasionally request the updated contact information for use in the national evaluation. We will copy any updated information into the RAS.

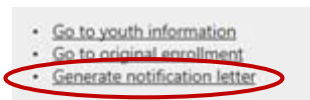
Youth, parent/guardian, and sibling DOBs and SSNs cannot be revised by program staff in the RAS, as they are key fields for validation checks. If this information needs to be revised during the enrollment period, contact the RAS Help Desk for assistance.

STEP 4: NOTIFY THE YOUTH PARTICIPANT OF HIS OR HER GROUP ASSIGNMENT

4.1 Print Group Assignment Notification Letter

Click on the “Generate Notification Letter” link on the bottom of the youth summary screen (Screenshot 4.1).

Screenshot 4.1 Generate Notification Letter Link



A letter for the applicant that is customized for his or her study group assignment will appear as a PDF file. Print this document on plain 8½ inch by 11 inch paper. Examples of the usual services group letter and program group letter are provided in Appendices H and I. Programs may choose to attach a table of available services (found in Appendix J) to the notification letter.

Once random assignment has been successfully completed, the RAS will produce a letter notifying the applicant of the results. The RAS will allow for some customization of letters by PROMISE programs. It is recommended that letters be printed on each program’s letterhead and signed by the program director. A PDF of each customized letter (one for each study group per program) will be loaded into the RAS. The system will populate the top portion of the letter with the applicant’s name and address. Mathematica will also provide the programs with Spanish versions of generic (non-customized) random assignment letters. For selected applicants, the programs may choose to include these in the envelopes used to transmit the RAS-generated letters.

[Note to site liaisons: Programs can inform a participant of his or her group assignment in three ways: (1) in person, (2) over the phone, and (3) via mail. Only include the instructions below for the method(s) your program has chosen to use. If your program has chosen to use a combination of these methods, include all relevant instructions.]

Notifying in Person

Print the RAS-generated study group assignment letter and present it to the youth. These letters are shown in Appendices H (for usual services group members) and I (for program group members).

Prepared scripts for informing youth of their study group assignments, the services they are eligible to receive, and any next steps are provided in Appendices K (for usual services group members) and L (for program group members).

[If programs choose to provide the accompanying table of available services, lists should be customized for information the program chooses to share with each of the study groups. Templates of this table are in Appendix JJ.]

Notifying by Mail

Application packets should advise youth and their parents/guardians that they will receive a letter informing them of their group assignment and which services they will be eligible to receive. After random assignment has been completed, print the RAS-generated study group assignment letter and mail it to the youth. These letters are shown in Appendices H (for usual services group members) and I (for program group members).

[If programs choose to provide the accompanying table of available services, lists should be customized for information the program chooses to share with each of the study groups. Templates of this table are in Appendix J].

Notifying Over the Phone

Follow the scripts provided in Appendices K and L for informing youth of their study group assignments, the services they are eligible to receive, and any next steps.

[Note to site liaisons: If your program plans to use this method, you should confirm that it will follow data security procedures for phone calls. Program staff should not leave messages that contain personally identifiable or sensitive information via voice message (see Chapter IV for data security procedures). Site Liaisons should encourage the program to combine the phone calls with mailing an official RAS notification letter.]

4.2 Script for Dealing with an Upset Youth or Parent/Guardian

If a youth or parent/guardian becomes upset after being informed of his or her study group assignment, the sample script provided in Appendix M may be used to address their concerns. The individual may also be referred to a supervisor.

III. VERIFYING GROUP ASSIGNMENT

Adherence to the study group assignments is essential for the evaluation's success. Because of this, it is important that PROMISE staff verify that applicants have not been previously assigned to a study group and ensure that PROMISE services are only delivered to PROMISE program group youth.

Checking for previous enrollment and verifying group assignment in the RAS

Before enrolling a youth or delivering PROMISE services to a youth whose study group status is uncertain, enter the youth's SSN and DOB in the "Find Youth" screen to check for a previous random assignment or to view the individual's study group assignment.

Identify study group status in state MIS system

Program staff may also check their program's MIS to confirm that a youth is in the program group before delivering PROMISE services to him or her.

[Site Liaisons should customize for each program's method of ensuring that staff who will be providing PROMISE services have a way of checking the study group assignment in their MIS.]

Verifying group assignment integrity

As part of the early assessment reports for the process study, Mathematica will request extracts from state MIS systems of the number of youth who have been recorded as program and/or usual services youth (depending on whether or not the state MIS system tracks both the program and usual services group or just the program group). Mathematica will compare these extracts to the reported number of youth assigned to the program and usual services group as recorded in the RAS. This check will ensure that youth who have been randomly assigned to a study group in the RAS are being recorded as belonging to the same study group in state MIS systems. We encourage the PROMISE programs to conduct similar checks at frequent intervals. Program administrators and managers can find instructions for using RAS reports to conduct these checks in Appendix O of their procedures manual.

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IV. DATA SECURITY PROCEDURES

In the course of your work on PROMISE, you will encounter personally identifiable information (PII) about the applicants, participants, and their families. PII is very sensitive and must be kept confidential. This chapter defines PII and provides specific methods for protecting it. We hope you will find that many of these guidelines are practices that you and your organization already routinely follow. However, if you think that you cannot comply with any of these guidelines, contact your program director so that a suitable alternative can be identified.

A. What Is PII?

PII is information unique to an individual, such as name, date of birth, address, telephone number, and SSN. For the PROMISE evaluation, any individual-level information about PROMISE participants or potential enrollees and their parents/guardians should be considered PII and protected accordingly. This includes the SSA lists of PROMISE-eligible SSI youth, program outreach letters, completed consent forms, and study group assignment letters generated by the RAS. All of the individual-level information contained in the RAS should also be considered PII.

Note that the unique study identification number assigned to each PROMISE participant is not PII because it is randomly generated and has no meaning outside the PROMISE evaluation. Whenever possible, use the study identification number instead of PII to designate or refer to potential enrollees and PROMISE participants.

If you have any questions about whether information you work with is PII, contact your program director.

B. How Do I Maintain the Confidentiality of PII?

There are many ways to maintain the confidentiality of PII, some of which you probably already use.

Control Access to Data Inside Program Offices

Discussions, including phone calls, must remain confidential. When discussing PROMISE participants or potential enrollees, do so in a private room, if possible, or a restricted area out of earshot of unauthorized people (people without SSA clearances).

Keep all completed consent forms, contact information, letters, printouts, other paper documents, and portable media containing PII out of sight and locked up in appropriate storage units, such as locking file cabinets, when not in use.

Keep all work surfaces and open storage areas, such as bookcases, clear of PII of any type when not in immediate use. Never leave paper documents or portable media containing PII unattended.

When printing documents that contain PII, walk to the printer as soon as the print job is sent and remain there until the printout is complete.

Do not store PII on unencrypted portable media, such as CDs/DVDs, flash/thumb drives, laptops, and smart phones. If you store PII on encrypted portable media, the media should be kept in locked storage when not in use.

Control Access to Data Outside Program Offices

If you are collecting PII outside of the office, such as at a recruitment event, keep all paper documents or portable media containing PII on your person at all times.

When transporting PII back to the office, keep it on your person or in locked storage, such as a car trunk or a hotel safe.

Control Access to Data on Your Computer

When displaying PII on your computer monitor, ensure that unauthorized people cannot see the data by looking over your shoulder, from a hallway, or through a window. When possible, shut office doors, close window blinds, or position your computer monitor so that it is not visible to others.

PII stored in the RAS is secure. If you have PII stored elsewhere, such as on your computer, make sure the location where it is stored is encrypted and accessible only to authorized people.

Log out of the RAS whenever you leave your computer. You should also lock your computer, which is usually accomplished by pressing CTRL+ALT+DELETE, then ENTER.

Do not allow anyone else to use your RAS and computer accounts. Do not share your passwords or write them down.

Transmit Data Securely

Do not email PII. Do not include PII in the subject line or body of emails and do not attach documents that contain PII. If you need to ask your supervisor, Site Liaison, or the RAS Help Desk a question that involves a specific PROMISE participant or potential enrollee, call them or send them an email to schedule a time for a call.

You may mail paper documents and encrypted portable media that contain PII. If the PII relates to a single PROMISE participant or potential enrollee, you may send it via First Class Mail. If the PII relates to multiple PROMISE participants or potential enrollees, send it via Certified or Registered Mail, UPS, or FedEx with tracking and receipt confirmation requested.

You may verbally discuss PII in person or over the phone as long as unauthorized people cannot overhear the conversation. Do not leave PII in voicemail messages.

Destroy Data Securely

Do not delete computer files that contain PII. Instead, use file overwriting software to wipe the data with at least three passes. If you do not already have such software installed on your computer, a free program such as Eraser can be downloaded from the Internet.

Do not throw any paper documents that contain PII in a trash can or recycling bin. Instead, destroy them in a shredder, preferably one that cuts paper into confetti rather than strips. You should also shred CDs/DVDs that are no longer being used and contain PII.

Storing and mailing consent forms

Consent forms contain a great deal of PII and thus the secure handling of these forms is critical. Programs may choose whether to store the consent forms at the PROMISE offices where they are collected or in one centralized location, such as the program director's office. If PROMISE programs will be storing consent forms at a centralized location, PROMISE offices should establish a schedule for sending forms to that location. Until the time of mailing, consent forms should be stored in appropriate storage units such as locking file cabinets. Only authorized staff should have access to the storage units.

At the scheduled time, PROMISE offices should send the forms via Certified or Registered Mail, UPS, or FedEx with tracking and receipt confirmation requested. Once the forms arrive, they should, again, be kept locked up in appropriate storage units, such as locking file cabinets. Only authorized staff should have access to these storage units, as well.

If a PROMISE program will not be keeping consent forms at a centralized locations, all PROMISE offices should follow the same guidelines for storing consent forms in locking file cabinets and only allowing access to authorized staff.

Wherever the consent forms are stored, programs should be able to retrieve them should a youth or parent/guardian have a question about consent. Mathematica may also request copies of forms if needed for the national evaluation.

Incident Reporting

Report the loss, disclosure, or misuse of PII to your supervisor immediately. Your supervisor should then contact [insert names and contact information of Department of Education project officers] at the Department of Education and Jeff Hemmeter (Jeffrey.Hemmeter@ssa.gov, 410-597-1815) and Molly Costanzo (Molly.Costanzo@ssa.gov, 202-358-6322) at SSA to report the incident and determine whether any follow-up actions are needed.

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V. RESOURCES AND SUPPORT FOR STUDY ENROLLMENT

The success of the PROMISE evaluation depends on the cooperation of the PROMISE programs, and ensuring that they have the resources and support to recruit sufficient numbers of youth to enroll in the evaluation, implement the random assignment design, and collect the data needed for the evaluation. This chapter of the manual provides information on the resources and support available from the national evaluation team during the study enrollment period.

Support Provided by the National Evaluation Team

Your Site Liaison will gather information about your program early in the evaluation to customize procedures, minimize the data collection burden on program staff, and develop plans to address issues that might adversely affect the ability to evaluate PROMISE. In addition, the site liaison will be your primary contact for general technical assistance for recruitment and enrollment, random assignment, and ongoing data collection.

Key technical assistance activities include:

- **Conference calls and webinars.** Mathematica staff will conduct conference calls and/or webinars with the PROMISE programs before recruitment begins and after it is underway to help them prepare for recruitment and provide them with guidance on dealing with recruitment challenges.
- **Web-based training.** Mathematica will provide and record a web-based training session on the RAS that can be used as a refresher for existing program staff and as a training tool for new staff.
- **In-person training.** Your Site Liaison can conduct in-person training as needed during the enrollment period at state-wide meetings of program staff. The training may cover such topics as the importance of random assignment, recruitment and consent strategies, the role of administrative data in the evaluation, and the need for consistent data collection procedures and definitions over time and across programs. Training topics will be selected on the basis of the needs of the program staff and the evaluation.

Mathematica has created an RAS Help Desk to quickly address program staff questions and concerns about the RAS. The Help Desk will operate throughout the PROMISE enrollment phase, and can be accessed through a toll-free telephone number and email. The Help Desk will be monitored by trained Mathematica staff from 8:00 a.m. to 8:00 p.m., Eastern time. Program staff may leave messages with the Help Desk after business hours or when the Help Desk staff are otherwise busy. To the extent feasible, the Help Desk staff will respond to all messages the same business day and attempt to resolve all issues by the end of the next business day.

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VI. OTHER EVALUATION ACTIVITIES

As the national evaluator, Mathematica will conduct process and impact analyses of PROMISE. The process analysis will describe how PROMISE was implemented by the six programs. The impact analysis will assess whether the PROMISE programs lead to better outcomes for youth and their families. This chapter provides information on how Mathematica will collect data for the process and impact analyses.

Site Visits, Interviews, and Focus Groups

Mathematica will conduct a process analysis to document the PROMISE program models, assess the extent to which the models were implemented as planned, identify key program features with the potential to affect impacts, assess the experiences of staff and participants, and identify lessons learned. This process analysis will be based in part on data gathered during site visits to the PROMISE programs, which will include interviews with staff and focus groups with youth and parent/guardian participants.

Telephone interviews will be conducted with PROMISE program directors in winter 2014.

Site visits, staff interviews, and participant focus groups will be conducted in fall 2014 and winter 2016. These visits may coincide or overlap with state-level PROMISE meetings. Interviews will be conducted with key state-level program staff and partners, and local frontline staff and managers. Focus groups will be conducted separately with youth and parents/guardians.

Surveys

Mathematica will conduct an impact analysis to determine whether youth and families in the PROMISE program group received more services than their counterparts in the usual services group. The impact analysis will also assess whether program group members experience better education, employment, and other outcomes relative to usual services group members. Data collected via two follow-up surveys of youth and parents/guardians in both of the study groups will be used to conduct the impact analysis. These surveys will be conducted primarily by telephone at 18 months and five years after random assignment.

State Administrative Data

State administrative data will also be used in the process and impact analyses. Mathematica will request periodic data extracts from the PROMISE programs' MIS and from administrative records systems for state Vocational Rehabilitation programs and the state Medicaid programs. These data will be used to document the services received by members of the program group and the usual services group and to assess the costs and benefits of PROMISE. Furthermore, state administrative data on unemployment insurance benefits, SNAP and TANF benefits, and education progress and outcomes may be requested at a future date by SSA for additional analyses. Consent to access all of these state administrative data sources for enrollees in the PROMISE evaluation will be obtained as part of the application process.

Mathematica and SSA will work with the PROMISE programs to establish the necessary data use agreements, implement required data security protocols, and establish processes for the programs to securely transmit state administrative data for the evaluation.

Federal Administrative Data

Federal administrative data from IRS and SSA automated records systems will also be used in the impact analysis. These data will include annual earnings and monthly disability benefit amounts received by youth who have enrolled in the evaluation. Under its evaluation contract, Mathematica will estimate the impacts of the PROMISE programs on these outcomes 18 months and five years after random assignment. SSA will continue to collect and analyze these data after Mathematica's evaluation contract has ended, estimating impacts 10 years or more after random assignment.

APPENDIX A

DESCRIPTION OF THE PROMISE EVALUATION

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***Evaluation of the Promoting Readiness of Minors in
Supplemental Security Income (PROMISE) Demonstration***

| | |
|---|--|
| <i>Study Rationale</i> | Youth with disabilities who receive Supplemental Security Income (SSI) face substantial barriers to economic independence in making the transition to adult life. The barriers are related to their health status, social isolation, service needs, and potential loss of disability benefits. As a result, the education and employment outcomes for youth SSI recipients are frequently less favorable than those for their peers without disabilities, leading to greater dependence on public programs and poorer overall economic well-being as adults. |
| <i>Sponsors and Program Objectives</i> | PROMISE—Promoting Readiness of Minors in Supplemental Security Income—is a joint initiative of the Social Security Administration (SSA) and the U.S. Departments of Education (ED), Health and Human Services, and Labor. It will address many of the barriers to economic independence faced by SSI youth and their families. As the lead agency for the demonstration, ED is funding six demonstration programs to promote positive changes in education and employment outcomes for the target population. To achieve these outcomes, the PROMISE programs will provide innovative educational, vocational, and other services to youth and their families. The programs will also make better use of existing resources by improving service coordination among state and local agencies. Youth SSI recipients age 14 to 16 are eligible to enroll in the PROMISE study. |
| <i>Location of PROMISE Programs</i> | ED has provided total funding of \$211 million to the following six states or groups of states to implement PROMISE programs over a five-year period starting October 2013: <ul style="list-style-type: none"> • Arkansas • California • Maryland • New York • Wisconsin • The six-state ASPIRE consortium: Arizona, Colorado, Montana, North Dakota, South Dakota, and Utah |
| <i>Study Objectives</i> | SSA, the lead agency for the evaluation of PROMISE, has contracted with Mathematica Policy Research, a national policy research and evaluation firm, to conduct a nine-year evaluation of the demonstration. The evaluation will address whether the provision of services and supports to SSI children age 14 through 16 and their families results in better education and employment outcomes. |
| <i>Research Design</i> | The PROMISE evaluation will be based on an experimental research design: <ul style="list-style-type: none"> • Each program will enroll a minimum of 2,000 youth SSI recipients and their families. • One-half of the enrolled cases will be randomly assigned to treatment status (the “program group”) and will be eligible for PROMISE services. The other half will be randomly assigned to control status (the “usual services group”) and will be eligible for only those services that would have been available in the absence of PROMISE. |
| <i>Research Activities for Mathematica</i> | Building on the rigorous random assignment design, the national PROMISE evaluation includes the following research activities to be conducted by Mathematica: <ul style="list-style-type: none"> • Follow-up surveys of youth enrollees and their families 18 months and five years after enrollment • Collection of five years of follow-up data on enrollees from state, federal, and PROMISE program record systems |

**Research
Activities for
PROMISE
Programs**

- Collection of qualitative information on the delivery of PROMISE services through site visits that will include interviews with program staff and focus groups with youth and parents
- An impact analysis to assess whether the PROMISE programs improved outcomes for program group members relative to usual services group members in areas such as service receipt, employment and earnings, educational attainment, self-determination, risky behaviors, and receipt of disability benefits
- A process analysis to understand the services delivered by each program and how those services relate to impacts
- A benefit-cost analysis of the PROMISE programs to determine whether, across a variety of perspectives, the impacts of the programs exceed their costs

In addition to delivering services, the PROMISE programs are expected to participate in the following research activities:

- Recruit and enroll youth and families in the study
- Input information on enrollees into a web-based information system, designed by Mathematica, that will randomly assign them to program or usual services groups
- Record data on services delivered to program group members in a management information system; provide data extracts to Mathematica
- Conduct formative evaluations to inform them about the implementation of their programs and to provide a basis for continuous improvement
- Execute data use agreements with SSA regarding state-level administrative data for various programs; facilitate provision of data extracts to Mathematica
- Participate in two site visits by the national evaluation team

Mathematica will train and provide technical assistance to PROMISE program staff on recruitment, enrollment, random assignment, and provision of data extracts.

**Study
Schedule**

The evaluation is being conducted over a nine-year period, from October 2013 through September 2022. The first year will be devoted to developing a random assignment system, providing technical assistance to programs on recruitment and enrollment, fleshing out the research design, and conducting the first of two rounds of site visits to the programs. The second round of site visits will occur in year three. Evaluation-related technical assistance to the PROMISE programs will continue through year three, when enrollment will be completed. The 18-month follow-up survey will be conducted in years two through four and the five-year follow-up survey in years six through eight. In years five and nine, the evaluation team will analyze survey and administrative data to estimate program impacts on youth and families.

Findings from the study will be provided in four types of reports:

- Six program-specific early assessment reports in 2015
- Six program-specific implementation reports in 2016-17
- A comprehensive interim report in 2018, focusing on impacts on services
- A comprehensive final report in 2022, focusing on impacts on longer-term outcomes such as employment and educational attainment

**Additional
Information**

SSA's PROMISE website: <http://www.socialsecurity.gov/disabilityresearch/promise.htm>

ED's PROMISE website: <http://www2.ed.gov/about/inits/ed/promise/index.html>

APPENDIX B

STUDY SUMMARY POWERPOINT PRESENTATION

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Overview of the PROMISE Demonstration and Its National Evaluation

[[date]]



The PROMISE Demonstration



Promoting Readiness of Minors in Supplemental Security Income (PROMISE)

- A joint initiative of the U.S. Departments of Education (ED), Health and Human Services, and Labor and the Social Security Administration (SSA)
- Objectives
 - Immediate: Improve the provision and coordination of services for youth ages 14–16 receiving Supplemental Security Income (SSI) and their families
 - Long-term: Improve educational attainment and employment outcomes and reduce reliance on SSI
- Six demonstration programs
 - Funded by ED for five years

Location of PROMISE Demonstration Programs

- Arkansas
- Achieving Success by Promoting Readiness for Education and Employment (ASPIRE): Arizona, Colorado, Montana, North Dakota, South Dakota, and Utah
- California
- Maryland
- New York
- Wisconsin

PROMISE Program Components

- **Recruit and enroll at least 2,000 youth and their families over two years**
 - **Half will receive PROMISE services, and half will receive the usual services available in their communities**
- **Deliver a range of services**
 - **Case management, employment, education, benefits counseling, and family financial planning**
- **Improve collaboration between:**
 - **Schools; vocational rehabilitation agencies; community service providers; state departments of education, health, and social services**

The National Evaluation of the PROMISE Demonstration

Contractor for the National Evaluation

- Through a competitive bidding process, SSA awarded a contract to Mathematica Policy Research to evaluate the six PROMISE demonstration programs
- Mathematica is an independent, employee-owned company that has been evaluating social welfare programs since 1968

Research Questions

- Does providing services and supports for SSI youth and their families lead to better education and employment outcomes as well as reduced reliance on disability and other public benefits?
- Additional questions
 - Were the proposed services implemented effectively?
 - Did the planned collaborations occur?
 - Did the benefits of PROMISE exceed the cost of services?

Random Assignment Evaluation Design

- PROMISE enrollees will be randomly assigned to receive either PROMISE program services or the usual services
- Outcomes for both groups will be monitored and compared for five years
- Random assignment is the most rigorous way to assess the program impacts
 - It ensures that differences in outcomes between the program and usual services groups are due to the program rather than other factors



Key Evaluation Activities

- Development of random assignment system
- Technical assistance to programs on recruitment and random assignment
- Site visits, including interviews with program staff and focus groups with youth and parents
- Collection of data on youth from SSA and state administrative systems
- Surveys of youth and parents 18 months and five years after enrollment
- Analysis and reporting



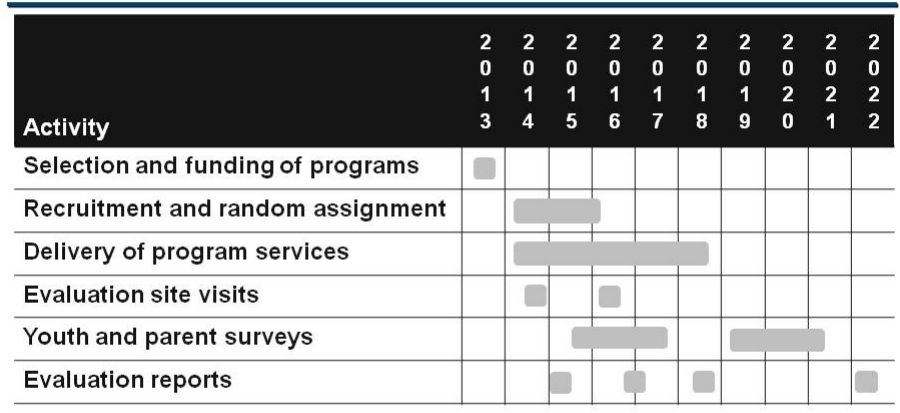
Planned Analyses

- **Analysis of program implementation**
 - Based on data gathered during site visits
- **Analysis of program impacts on youth and families**
 - Based on data from surveys and administrative systems
- **Benefit-cost analysis**
 - Based on findings from the implementation and impact analyses

Reports

- **Site-specific early assessment reports (six, in 2015)**
 - Program performance in recruitment, random assignment, and provision of administrative data
- **Site-specific implementation reports (six, in 2016–17)**
- **Comprehensive interim report (one, in 2018)**
 - Impacts on the receipt of services
- **Comprehensive final report (one, in 2022)**
 - Impacts on longer-term outcomes (e.g., employment and educational attainment) and findings from the benefit-cost analysis

Timeline of PROMISE Activities



PROMISE Stakeholder Roles



Stakeholder Roles: ED and SSA

- **U.S. Department of Education**
 - Fund and oversee the PROMISE demonstration programs
 - Coordinate federal partners
 - Develop PROMISE website and other information-sharing forums
- **Social Security Administration**
 - Fund and oversee the national evaluation
 - Provide data to help the demonstration programs locate and recruit young SSI recipients
 - Provide data on earnings and SSA benefits for impact analysis



Stakeholder Roles: PROMISE Demonstration Programs

- Recruit and enroll SSI youth and their families
- Provide PROMISE services to treatment group
- Ensure coordination of services across providers
- Evaluate program operations to support ongoing improvements
- Provide Mathematica with data from state administrative systems and with information about the PROMISE programs



Stakeholder Roles: Youth and Families

- Provide consent to participate in the study
- Participate in PROMISE services (if in the treatment group)
- Respond to evaluation data collection activities
 - Telephone surveys of all treatment and control cases
 - Focus groups with smaller numbers of treatment cases

Stakeholder Roles: Mathematica

- Design and implement random assignment system
- Provide technical assistance to programs on recruitment, random assignment, and other evaluation-related issues
- Conduct data collection
- Conduct evaluation analyses
- Report findings

PROMISE Contacts

ED point of contact for PROMISE demonstration

Marlene Simon-Burroughs
marlene.simon-burroughs@ed.gov
(202) 245-7525

SSA point of contact for PROMISE evaluation

Jeffrey Hemmeter
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(410) 597-1815

Mathematica project director for PROMISE evaluation

Thomas Fraker
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(202) 484-4698

APPENDIX C

EXAMPLE OUTREACH LETTER

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[PROMISE PROGRAM LETTERHEAD]

Dear [NAME],

You are invited to be in an important national study called PROMISE, supported by the U.S. Department of Education and the Social Security Administration. PROMISE will help youth who are receiving disability benefits graduate from high school, go to college or a technical school, and get the jobs they want. The study will describe how PROMISE works and how it helps youth who receive PROMISE services.

More than 12,000 young people nationally will participate in the PROMISE study. You have been invited to be in it because you receive Social Security benefits.

Are you interested in being in this study? If so, you and your parent or guardian should:

- Call [CONTACT NAME] at [PHONE NUMBER] to obtain an application packet.
- Fill out and sign a form in the packet saying that you'd like to be part of [PROMISE/ASPIRE].

After you submit the signed form, a computer will randomly place you in one of two groups: a program group that will be eligible for [PROMISE/ASPIRE] services, and a usual services group that will not be eligible for [PROMISE/ASPIRE] services. Random placement is like a lottery or tossing a coin. It is a fair way to make sure that everyone who wants to receive [PROMISE/ASPIRE] services has an equal chance to get them.

If you are placed in the program group, you and your family will have access to [PROMISE/ASPIRE] services as well as any other services for which you may be eligible. If you are placed in the usual services group, you and your family will have access to the services normally available through your school, state and local agencies, and community organizations.

Everyone who participates in the PROMISE study, regardless of which group they are placed in, will be asked to answer some questions about school, job training, work, and how they get along day-to-day. An interviewer from the study will call to ask you and your parent or guardian these questions 18 months from now and again in five years. Both of you will receive \$10 gift cards for completing each interview.

Please call [CONTACT NAME] at [PHONE NUMBER] to get started!

Want more information before you make that call? Please visit the U.S. Department of Education's PROMISE website at <http://www2.ed.gov/about/inits/ed/promise/index.html>. If you decide not to be in PROMISE, it will not affect the services or benefits you receive now.

Thank you for considering this important opportunity.

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APPENDIX D

INSTRUCTIONS ON USING GOVERNMENT-TO-GOVERNMENT SERVICES ONLINE (GSO) FOR PROGRAM MANAGERS/ADMINISTRATORS

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The Government-to-Government Services Online system (GSO) can be accessed at <https://secure.ssa.gov/acu/LoginWeb/loginHandler.do?SUITE=G2GSO>. It is a secure method for transferring electronic files, and is very similar to using a Yahoo! email account. Below are instructions on how to use the system.

- **Log into the system:** Enter “User ID,” “Password,” and click “Login” to log into the system. You will be brought to the welcome screen. You will have access to Secure Messaging (click on this). You will have 5 folders: Inbox, Pending, Drafts, Sent, Quarantined).
- **Receiving Incoming Messages:** The system sends an email message to your usual email (that was submitted with the account application) when you have a message. It also sends a message when what you have sent to somebody through GSO has been read by that person. When you receive the above-mentioned notification, log into the system. Once in Secure Messaging, click on the Inbox to read the message and download any attachments.
- **Creating Outgoing Messages:** To compose an email, click on Compose. If your address list isn’t showing, click on Show Address List. Then click on the contact’s name and click on the “Add To” or “Add Cc” button. Create a Subject for your email and set its level of Importance. You can add any attachments you need and there is a box to compose the actual message. Click “Send” to send the mail to the people in your “To” and “Cc” fields.

***Note:** The system does not store your messages. They will automatically be deleted after a few days, so it is important to download any datasets or other attachments right away.

If you have any questions about the GSO system, please contact Jeff Hemmeter (Jeffrey.Hemmeter@ssa.gov) or Molly Costanzo (Molly.Costanzo@ssa.gov) for technical assistance.

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APPENDIX E

**FIELDS INCLUDED IN THE SSA LISTS
OF PROMISE-ELIGIBLE SSI YOUTH**

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Program staff will use the SSI lists as the primary source for their outreach efforts. Tables E.1 and E.2 describe the contents of the lists. Programs should conduct outreach via mail to the youth’s mailing address (“MA” fields). In-person follow up should be conducted at their residential address (“RA” fields) or the Representative Payee’s address (“REP” fields). Because the eligible age range for PROMISE includes only minors, all youth will have a Representative Payee listed. It is expected that in most cases the MA, RA, and REP addresses will be the same.

Table E.1 SSI List Field Acronyms and Names

| Acronym | Field Name |
|----------------------|--|
| SID | Study ID |
| DOB | Date of Birth |
| SSN4 | Last Four Digits of Social Security Number |
| SEX | Sex |
| F-NAME | First Name |
| M-NAME | Middle Name |
| L-NAME | Last Name |
| SUFFIX | Suffix |
| TELNO | Telephone Number |
| LANG-PREF-SPOKEN | Spoken Language Preference |
| PRIM-DIS-NAME | Primary Disability Name |
| FIRST-DATE-AGE-ELIG | First Date Age Eligible |
| LAST-DATE-AGE-ELIG | Last Date Age Eligible |
| MA-NAME-FULL-1 | Name and Full Mailing Address |
| MA-NAME-FULL-2 | Name and Full Mailing Address |
| MA-NAME-FULL-3 | Name and Full Mailing Address |
| MA-CITY | Mailing Address City |
| MA-STATE | Mailing Address State |
| MA-ZIP | Mailing Address Zip Code |
| MA-ZIP6-9 | Mailing Address Zip Code Suffix |
| REP-F-NAME | Rep Payee’s First Name |
| REP-M-NAME | Rep Payee’s Middle Name |
| REP-L-NAME | Rep Payee’s Last Name |
| REP-SUFFIX | Rep Payee’s Name Suffix |
| REP-RELATIONSHIP | Rep Payee’s Relationship to Youth |
| REP-AGCY-NAME | Rep Payee’s Agency Name |
| REP-LANG-PREF-SPOKEN | Rep Payee Spoken Language Preference |
| REP-TELNO | Rep Payee’s Telephone Number |
| REP-FULL-ADD-1 | Rep Payee’s Mailing Address |
| REP-FULL-ADD-2 | Rep Payee’s Mailing Address |
| REP-CITY | Rep Payee’s City |
| REP-STATE | Rep Payee’s State |
| REP-ZIP | Rep Payee’s Zip Code |

| Acronym | Field Name |
|-------------|-------------------------------------|
| REP-ZIP6-9 | Rep Payee's Zip Code Suffix |
| RA-FULL-1 | Full Residential Address |
| RA-FULL-2 | Full Residential Address |
| RA-FULL-3 | Full Residential Address |
| RA-FULL-4 | Full Residential Address |
| RA-FULL-5 | Full Residential Address |
| RA-CITY | Residential Address City |
| RA-STATE | Residential Address State |
| RA-ZIP | Residential Address Zip Code |
| RA-ZIP6-9 | Residential Address Zip Code Suffix |
| STATUS CODE | Status Code |

Table E.2 Explanation of Address Fields

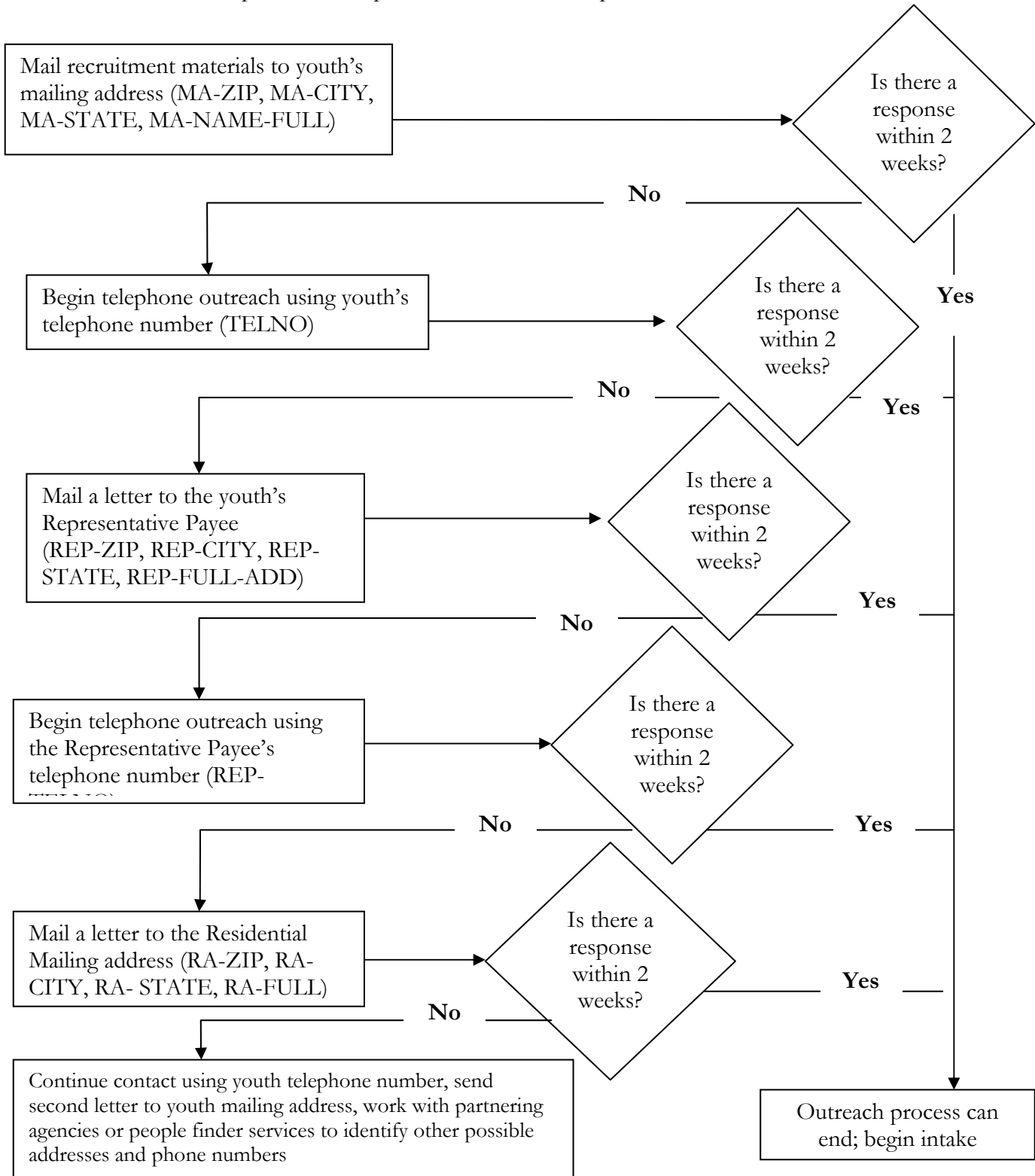
| Set of Address Fields | Explanation |
|--|---|
| MA-NAME-FULL-1, MA-NAME-FULL-2, MA-NAME-FULL-3, MA-CITY, MA-STATE, MA-ZIP, MA-ZIP6-9 | This group is related to the mailing address for the youth. PDNAMADR, specifically identifies the name and mailing address associated with the youth on the record. If there is a representative payee, their information will appear in these fields. These fields will always be populated. |
| REP-FULL-ADD-1, REP-FULL-ADD-2, REP-CITY, REP-STATE, REP-ZIP, REPZIP6-9 | This address group contains information about the Representative Payee on file. |
| RA-FULL-1, RA-FULL-2, RA-FULL-3, RA-FULL-4, RA-CITY, RA-STATE, RA-ZIP, RA-ZIP6-9 | This address group contains the residential address. These fields are populated if the residential address and mailing addresses differ, and the beneficiary does not live with his/her representative payee. |

Guidance for Using the SSI Lists to Conduct Recruitment

Here, we provide guidance on how PROMISE programs might use the information provided on the SSI lists for PROMISE recruitment purposes. This guidance is based on Mathematica's experience using similar lists for recruitment into SSA's Youth Transition Demonstration (YTD) a project designed to help young people with disabilities make the transition from school to work.

1. The first contact with the youth is made via mail to the youth's mailing address (MA-ZIP, MA-CITY, MA-STATE, MA-NAME-FULL1-3).
 - a. The envelope includes the designation "return service requested". With this service, the postal service will return the mail piece without forwarding. The mail piece will be returned to the sender with a new address or reason for non-delivery attached.
 - i. If mail is returned with a new address, before resending, determine if the address is in the service area. If it is, send the letter to that address.
 - ii. If mail is returned for non-delivery, send a letter to the representative payee if the address is different from the youth's mailing address (REP-ZIP, REP-CITY, REP- STATE, REP-FULL-ADD1-2).
2. After two weeks, if the youth has not contacted the program, begin telephone contact using the youth's telephone number (TELNO).
 - a. When calling the youth, try your call at different times of the day, and leave a message only after several attempts to contact have been made.
3. If the telephone number is not working or is the wrong number, send a letter to the representative payee if the address is different from the youth's mailing address (REP-ZIP, REP-CITY, REP- STATE, REP-FULL-ADD1-2). If the address is the same, begin telephone contact using the representative payee's telephone number (REP-TELNO).
4. If the telephone number is a valid and working number but after two weeks of attempted telephone contact there is no success in reaching the youth, send a letter to the representative payee if the address is different from the youth's mailing address (REP-ZIP, REP-CITY, REP- STATE, REP-FULL-ADD1-2).
5. After two weeks of sending the letter to the representative payee, if the youth has not contacted the program, begin telephone contact using the representative payee's telephone number (REP-TELNO).
6. After two weeks of attempted telephone contact without success, send a letter to the residential address if the address is different from the youth's mailing address and the representative payee's address (RA-ZIP, RA-CITY, RA-STATE, RA-FULL1-5).
7. If still no contact, continue attempting telephone contact (TELNO) and send a second letter to the youth's mailing address (MA-ZIP, MA-CITY, MA-STATE, MA-NAME-FULL1-3) if no indication from the postal service that the address is incorrect.
 - a. Attempt to obtain up-to-date contact information from other sources such as People Finder or Accurant

This flow chart presents a simplified version of the steps listed above.



APPENDIX F
CONSENT FORM TEMPLATE

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CONSENT TO PARTICIPATE

PROMISE TEMPLATE FOR STATE CONSENT FORMS

The U.S. Department of Education and the Social Security Administration (SSA) are sponsoring a new program to help youth who are receiving disability benefits and their families improve their educational and employment outcomes. This program is being implemented in 11 states. In your state, it is called [STATE PROMISE PROJECT NAME] and it is administered by [LEAD STATE ORGANIZATION]. A team of researchers at Mathematica Policy Research is evaluating the program. Approximately 2,000 youth in your state will be in the evaluation.

By signing this consent form, you are agreeing to take part in this very important study. There is no cost to you to being in the study. As a participant in this study, the following will happen:

- A computer will assign you to one of two groups. Your placement in these groups will be decided completely by chance, like a lottery, and will not be affected by any of your characteristics. This is a fair way to make sure that everyone who wants to has a fair chance of receiving services from the new program. The group you will be assigned to will affect the services you can access. The two groups are:
 1. **Usual Services Group.** If you are assigned to this group, you and your family will have access to all of the services normally available through your school, state and local agencies, and community organizations. Half of the youth and families who agree to be in the study will be assigned to this group.
 2. **Program Group.** If you are assigned to this group, you and your family will have access to the services provided by [STATE PROMISE PROJECT NAME]. These services will include:
 - a) exploring career and education opportunities;
 - b) help finding a job that matches your interests and abilities;
 - c) help achieving your education goals; and
 - d) counseling on benefits and personal finances.

Parents and other family members may also be eligible for some of these services. Half of the youth and families will be assigned to this group.

- The decision to participate in the study is up to you and your family. If you decide not to participate, you will still have access to usual services. You may stop participating in the study at any time by writing to [State PROMISE contact, address]. There is no penalty for dropping out. Any information we collect about you before your termination request will be used for research purposes.
- You and your family will be contacted by an interviewer from Mathematica to complete two interviews by telephone in 18 months and again in 5 years. Even if you agree to be in the study today, you will not have to participate in these interviews if you change your mind and decide that you don't want to. However, your responses will very important to the success of the study. You will receive a \$10 gift card for each interview you complete.
- Your Social Security Number is required on this consent form for project evaluation purposes to accurately identify and track your disability benefits and other records.
- Researchers at Mathematica and SSA will analyze data on you that they will get from SSA, [STATE PROMISE PROJECT NAME], the state vocational rehabilitation agency, the state unemployment insurance agency, the state department of education, and the state and federal agencies that administer the Medicaid, Temporary Assistance for Needy Families (TANF), and Supplemental Nutrition Assistance Program (SNAP) programs. These data will include your receipt of benefits and services and your progress in school. These data may be collected and analyzed for both the youth and parent/guardian signing this form. The researchers may collect and analyze your data for up to 20 years after you enter the study.
- All information that will be collected about you on this study through interviews or agency records will be used for research purposes only. The information will be kept confidential. Confidential means that it will be kept as private as possible. The data will be securely stored in accordance with federal and state privacy laws. Your name will never be used in any reports and no information about you will be reported in any way that could identify you.

I have read this consent form (or it has been read to me) and I understand the information it provides. I agree to take part in the study of [STATE PROMISE PROJECT NAME] and to participate in project services if I am selected into the program group. If I have questions I can call [STATE PROMISE PROJECT CONTACT] at [PHONE NUMBER]

YOUTH'S FIRST NAME (printed) MI

TELEPHONE NO. (cell phone)

YOUTH'S LAST NAME (printed)

TELEPHONE NO. (land line)

YOUTH'S SIGNATURE

E-MAIL ADDRESS

DATE

FACEBOOK USERNAME

YOUTH'S SOCIAL SECURITY NUMBER

Residential or mailing address:

DATE OF BIRTH: M M D D Y Y Y Y

ADDRESS LINE 1

ADDRESS LINE 2

GENDER: MALE FEMALE

CITY/STATE/ZIP

PARENT OR GUARDIAN'S FIRST NAME (printed) MI

TELEPHONE NO. (cell phone)

PARENT OR GUARDIAN'S LAST NAME (printed)

TELEPHONE NO. (land line)

PARENT OR GUARDIAN'S SIGNATURE

E-MAIL ADDRESS

DATE

RELATIONSHIP TO YOUTH

Residential or mailing address (if different from youth's):

SOCIAL SECURITY NUMBER

ADDRESS LINE 1

DATE OF BIRTH: M M D D Y Y Y Y

ADDRESS LINE 2

GENDER: MALE FEMALE

CITY/STATE/ZIP

Does the youth have a sibling who enrolled in the study at an earlier date (circle one)? Yes No

If "yes," provide the following information about the sibling:

SIBLING'S FIRST NAME (printed) MI

SIBLING'S SOCIAL SECURITY NUMBER

SIBLING'S LAST NAME (printed)

DATE OF BIRTH: M M D D Y Y Y Y

APPENDIX G

QUESTIONS AND ANSWERS ABOUT THE PROMISE EVALUATION

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PROMISE EVALUATION QUESTIONS & ANSWERS

The information in this document may be used to answer questions that potential PROMISE enrollees have about the study.

General Questions About the Study

Why is this study being conducted?

The goals of the Promoting Readiness of Minors in Supplemental Security Income PROMISE demonstration programs are to improve the provision and coordination of services and supports for youth Supplemental Security Income (SSI) recipients and their families. Ultimately, the programs aim to improve educational attainment, employment, and other outcomes for SSI youth and their families. The national evaluation will assess how the programs are implemented and whether these goals are achieved.

Who is administering and supporting this study?

The [PROGRAM NAME] is administering the study. PROMISE is supported by the U.S. Department of Education and the Social Security Administration. The Social Security Administration has hired Mathematica Policy Research, a private contract research firm that has conducted many major studies of government programs, to conduct the national study of the PROMISE demonstration programs.

Do I have to take part in this study?

No, your participation in the study is voluntary. If you decide not to participate, you will still be able to access other services as you normally would.

Can I quit this study later? How would I do that and what would be the consequences?

Yes, you may quit the study at any time by sending a letter to the PROMISE program director for your state. If you do quit the study, you will no longer be eligible for PROMISE services. However, you will be able to access other services as you normally would.

Study Groups

Why are there two study groups?

There are two study groups because we want to learn whether PROMISE services are more effective than usual services at improving outcomes such as educational progress and employment. By randomly assigning eligible youth to a program group and a usual services group, we can track and compare outcomes for these two groups to assess the effectiveness of PROMISE services.

What services are available to youth in each group?

In general, program group members will receive employment services, education support, and benefits counseling. However, youth in the program group will work with their assigned [PROMISE counselors/case managers] to develop plans for the specific services that they will receive.

Members of the usual services group will not be eligible for PROMISE services, but they will be able to receive other services available in their communities for which they might be eligible. The PROMISE program will provide these youth with a handout identifying such services.

Can I switch groups or apply again if I don't like the group that I'm assigned to?

No, you cannot switch groups or apply again if you don't like the group you are assigned to.

Why can't everyone get PROMISE program services?

Even if PROMISE services were not provided randomly, services would not be made available to everyone. Funding for PROMISE is limited, so even if the study were not taking place, not everyone who is eligible could receive PROMISE services. Because funding is limited, the fairest way to choose who will receive PROMISE services—among those who are eligible—is to pick them randomly. That way, everyone has an equal chance of receiving these services.

In addition, because of the importance of determining whether the PROMISE programs actually improve outcomes for youth and their families, this study is being run like a medicine trial. The only way to know whether a medicine is effective is to give it to some people and not to others and then to study the results. The PROMISE study is following this approach. It will randomly assign youth who enroll in the study to two groups, using a process like a lottery. Half of the youth will be eligible for PROMISE services and the other half will not. Running a study like this is the best way to determine whether a new set of services is more effective than the previously existing services.

If I'm in the program group, does this mean I will get all of the services that the PROMISE offers?

Being in the program group means that the study will not restrict in any way the services that you may receive. However, you will only be able to access the PROMISE services that your [PROMISE counselor/case manager] determines that you need (based on assessments and discussions with you) and which are available.

If I'm in the program group, will I be required to participate in any or all PROMISE services?

No, you will not be required to participate in any services that you do not want.

If I'm in the usual services group, does this mean that I will never be able to receive any services?

No, you will be free to seek services as you normally would from other programs in your community. However, you will not be able to receive PROMISE services.

What happens if I move during the study period?

If you move from one participating service area to another, you will continue to be eligible for either PROMISE/ASPIRE or usual services based on your group assignment. If you are in the program group and move to a location that is not participating the study, you will still be in the evaluation but you will no longer receive PROMISE services. If you are in the program group and move to a location that is geographically close to a PROMISE service area and can manage the logistics, you can continue to receive PROMISE/ASPIRE services.

Group Assignment

What are my odds of being in each study group?

You have a 50 percent chance of being assigned to each study group.

How are youth assigned to the study groups?

Youth are assigned to the study groups by a computer program. The assignments are completely random; PROMISE staff have no control over them. Every youth who enrolls in the study has the same chance of being assigned to one of the study groups, and nobody has an advantage. The groups that youth are assigned to are not affected in any way by their race, gender, age, or other personal characteristics.

Why is group assignment random? I think the process is unfair.

Assigning people to groups randomly is like picking names out of a hat or flipping a coin, so that everyone will be fairly treated. This way, everyone has the same chance of being in one of the two study groups. Remember, the decision about which group you are assigned to has nothing to do with things like your age, gender, race, ethnic group, or disability.

When will I find out the study group that I'm in?

[Specific to Program] You will find out almost immediately after you submit your completed and signed consent form through a letter that will be handed to you and by an accompanying verbal description, or you will find out several days later through a letter that will be mailed to you.

Consent Form

If my parent/guardian and I sign the consent form, will I get to receive PROMISE services?

The consent form must be completed for you to be a part of the study. Once you and your parent or guardian have completed this form, a computer program will randomly assign you to one of the two study groups. The group you are assigned to will determine what services you may be able to access. Only if you are assigned to the PROMISE Program Group will you be able to receive PROMISE services.

Can my parent/guardian and I think about it and sign the consent form later or do I have to sign it now?

Yes, you and your parent/guardian may complete and sign the form later (within the two year enrollment period) if you wish. However, you may access only the usually available services until you and your parent/guardian have completed the form and your study group has been determined.

What is the purpose of the consent form?

The consent form is your way of telling us that you understand what it means to be in the study and that you agree to take part in it. If you don't sign it, you can't be in the study. By signing the form, you are agreeing to being contacted for two follow-up surveys, providing your Social Security Number for tracking your disability benefits and other records, including the records of several

state-run programs. This information will be used for research purposes only. Your personal information will not be publicly revealed.

What happens if I don't sign the consent form?

You will not be included in the study, which means that you will have no chance of receiving PROMISE services. However, you will be able to access other services as you normally would.

I don't feel comfortable giving you my Social Security Number (SSN). Can I still be in the study?

If you don't provide your SSN, you can't be in the study. It's important that you provide your SSN so that the study team has an understanding of your background and the government services and benefits you receive. Let me reassure you that your SSN and all of the other information that is requested on the consent form will be treated confidentially.

National Evaluation Surveys

[Programs may choose to add a section for Formative Evaluation Surveys]

What is the purpose of the surveys?

The two surveys that will be conducted as part of the national evaluation will ask about the services that you may receive from the PROMISE program and from any other programs or community organizations. They will also ask about education or training programs that you may participate in after enrolling in the study and jobs you may obtain. This will help the study team to pinpoint how effective PROMISE services truly are. The answers you provide will not be shared with anyone outside of the national study team—including PROMISE staff members—unless required by law. You will not be identified by name or in any other way in any study reports.

How many people will the study team survey?

12,000 youth are expected to enroll in the evaluation and the study team expects to interview almost all of them twice.

When will the study team survey participants?

You will be surveyed 18 months after you are placed into one of the two study groups, and then again five years after placement.

How much will the study team pay me for completing the surveys?

You and your parent/guardian will both receive \$10 gift cards (to Target or Amazon) for completing each survey.

What if I want to participate in the study but do not want to participate in the surveys?

Participation in the surveys is voluntary. We hope that you will participate, but if you wish to participate in the study but not the surveys, that is okay.

How do I know that my information will be safe and won't be given away?

The study team will follow strict rules to ensure that your information will be kept safe and secure. It will never be shared with anyone outside of the study team unless required by law.

How will the surveys be conducted?

The surveys will be conducted primarily by telephone by interviewers employed by the study team. In some instances, the surveys may be conducted in person or via the Internet.

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APPENDIX H

RAS NOTIFICATION LETTER FOR THE USUAL SERVICES GROUP

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[PROGRAM LETTERHEAD]

Dear [YOUTH]:

Thank you for agreeing to be part of a research study about your school, work, and disability benefits. The study is called Promoting Readiness of Minors in Supplemental Security Income (PROMISE). It is administered by [PROGRAM NAME] and supported by the Social Security Administration and the U.S. Department of Education.

You were not selected to receive [PROMISE/ASPIRE] services. There were only enough spaces for half of the youth in the study. This does not affect the benefits you now get from Social Security. If you would like more information about other services that are available in your area, please see the attached list or call [REFERRAL NAME] at [NUMBER].

You are still part of this very important research study. Someone from Mathematica, the evaluation contractor, will call you in a year and a half to ask you questions about school, work, benefits, and your daily activities. A Mathematica interviewer will also call you about five years from now. We hope that you will participate in these interviews so that we can learn how PROMISE affects the lives of young people.

Please call us at 800-XXX-XXXX or email us at ZZZZZZZZZZ if you have any questions.

Thanks again,

[PROGRAM DIRECTOR SIGNATURE]

[PROGRAM DIRECTOR NAME]

[PROGRAM LETTERHEAD]

Estimado(a)[YOUTH]:

Gracias por aceptar ser parte de un estudio investigativo acerca de su escuela, trabajo, y beneficios de incapacidad. El estudio se llama *Promoviendo la preparación de jóvenes que reciben ingreso de seguridad suplementario* (iniciativa PROMISE). Está administrado por el programa [PROGRAM NAME] y apoyado por la Administración de Seguro Social y el Departamento de Educación de los Estados Unidos.

Usted no fue seleccionado(a) para recibir servicios de la iniciativa [PROMISE/ASPIRE]. Sólo había espacio suficiente para la mitad de jóvenes en el estudio. Esto no afecta los beneficios que usted recibe actualmente de Seguro Social. Si quisiera recibir más información sobre otros servicios que están disponibles en su área, por favor vea la lista adjunta, o llame a [REFERRAL NAME] al [NUMBER].

Usted sigue siendo parte de este estudio investigativo muy importante. Alguien de Mathematica, contratista para la evaluación, le llamará en un año y medio para hacerle preguntas acerca de la escuela, el trabajo, beneficios, y sus actividades diarias. Un entrevistador de Mathematica también le llamará en un plazo de cinco años. Esperamos que usted participe en estas entrevistas para que podamos aprender cómo la iniciativa PROMISE afecta las vidas de los jóvenes.

Sírvase llamarnos al 800-XXX-XXXX o envíenos un correo electrónico a [ZZZZZZZZZZ] si tiene preguntas.

Gracias de nuevo,

[PROGRAM DIRECTOR SIGNATURE]

[PROGRAM DIRECTOR NAME]

APPENDIX I

RAS NOTIFICATION LETTER FOR THE PROGRAM GROUP

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[PROGRAM LETTERHEAD]

Dear [YOUTH]:

Thank you for agreeing to be part of a research study about your school, work, and disability benefits. The study is called Promoting Readiness of Minors in Supplemental Security Income (PROMISE). It is administered by [PROGRAM NAME] and supported by the Social Security Administration and the U.S. Department of Education.

You have been selected to receive [PROMISE/ASPIRE] services. This program works with youth and their families to help them become more independent. The staff will help you get services, understand your benefits, explore career choices, and get a job.

Someone from [PROGRAM NAME] will contact you soon. He or she will set up an appointment to tell you more about the program. Someone from Mathematica, the evaluation contractor, will call you in a year and a half to ask you questions about school, work, benefits, and your daily activities. A Mathematica interviewer will also call you about five years from now. We hope that you will participate in these interviews so that we can learn how PROMISE affects the lives of young people.

Please call us at 800-XXX-XXXX or email us at ZZZZZZZZZZ if you have any questions.

Thanks again,

[PROGRAM DIRECTOR SIGNATURE]

[PROGRAM DIRECTOR NAME]

[PROGRAM LETTERHEAD]

Estimado(a) [YOUTH]:

Gracias por aceptar ser parte de un estudio investigativo acerca de su escuela, trabajo, y beneficios de incapacidad. El estudio se llama *Promoviendo la preparación de jóvenes que reciben ingreso de seguridad suplementario* (iniciativa PROMISE). Está administrado por el programa [PROGRAM NAME] y apoyado por la Administración de Seguro Social y el Departamento de Educación de los Estados Unidos.

Usted ha sido seleccionado para recibir servicios de [la iniciativa PROMISE/ASPIRE]. Este programa trabaja con jóvenes y sus familias para ayudarles a hacerse más independientes. El personal le ayudará a obtener servicios, entender sus beneficios, explorar opciones para carreras, y conseguir un empleo.

Alguien de [PROGRAM NAME] se pondrá en contacto con usted pronto. Él/ella fijará una cita para contarle más acerca del programa. Alguien de Mathematica, contratista para la evaluación, le llamará en un año y medio para hacerle preguntas acerca de la escuela, el trabajo, beneficios y sus actividades diarias. Un entrevistador de Mathematica le llamará en un plazo de cinco años. Esperamos que usted participe en estas entrevistas para que podamos aprender cómo la iniciativa PROMISE afecta las vidas de los jóvenes.

Sírvase llamarnos al 800-XXX-XXXX o envíenos un correo electrónico a [ZZZZZZZZZZ] si tiene preguntas.

Gracias de nuevo,

[PROGRAM DIRECTOR SIGNATURE]

[PROGRAM DIRECTOR NAME]

APPENDIX J
TEMPLATE OF AVAILABLE SERVICES

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[Programs may choose to attach this table to the study notification letters for control and/or treatment group members.]

Below is a list of services available to you, including contact information for service providers. Please contact your [PROMISE counselor/case manager] for more information on any of these services.

| Service Name | Provider Name | Provider Phone | Provider Address |
|---|---------------|-------------------|---------------------|
| Education and Training | | | |
| Education and Training Service 1 | Provider 1 | Provider Phone 1 | Provider Address 1 |
| Education and Training Service 2 | Provider 2 | Provider Phone 2 | Provider Address 2 |
| Education and Training Service 3 | Provider 3 | Provider Phone 3 | Provider Address 3 |
| Career Development and Employment | | | |
| Career Development and Employment Service 1 | Provider 4 | Provider Phone 4 | Provider Address 4 |
| Career Development and Employment Service 2 | Provider 5 | Provider Phone 5 | Provider Address 5 |
| Career Development and Employment Service 3 | Provider 6 | Provider Phone 6 | Provider Address 6 |
| Independent Living | | | |
| Independent Living Service 1 | Provider 7 | Provider Phone 7 | Provider Address 7 |
| Independent Living Service 2 | Provider 8 | Provider Phone 8 | Provider Address 8 |
| Independent Living Service 3 | Provider 9 | Provider Phone 9 | Provider Address 9 |
| Benefits Counseling | | | |
| Benefits Counseling Service 1 | Provider 10 | Provider Phone 10 | Provider Address 10 |
| Benefits Counseling Service 2 | Provider 11 | Provider Phone 11 | Provider Address 11 |
| Benefits Counseling Service 3 | Provider 12 | Provider Phone 12 | Provider Address 12 |

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APPENDIX K

**SAMPLE SCRIPT FOR INFORMING A YOUTH THAT
HE OR SHE HAS BEEN ASSIGNED
TO THE USUAL SERVICES GROUP**

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First, I'd like to thank you for agreeing to participate in the PROMISE study. Your participation will help us learn how programs and services for youth SSI recipients are working and how they can be improved so that youth like you can achieve their full potential for education and employment.

Remember that youth who are participating in the study are being randomly placed in either a program group that will be eligible for [PROMISE/ASPIRE] services or a group that will be eligible for only those services that are usually available in their communities. A computer program is making these placements entirely by chance. The placements are not affected by the characteristics of the youth or by anything that they or the [PROMISE/ASPIRE] staff may say or do.

The computer program has placed you in the usual services group. This means that you will have access to the services that are usually available to youth receiving SSI, but you will not be able to receive [PROMISE/ASPIRE] services. A list of the usual services will be mailed to you along with a letter explaining your group assignment [note several of the services].

While you will not have access to [PROMISE/ASPIRE] services, I encourage you to take advantage of the other services because they could help you achieve your education and employment goals.

Do you have any questions?

Thank you again for participating in the study. Interviewers from Mathematica will call you in about a year-and-a-half to ask you some questions about how you are doing in school and in other parts of your life.

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APPENDIX L

**SAMPLE SCRIPT FOR INFORMING A YOUTH THAT
HE OR SHE HAS BEEN ASSIGNED
TO THE PROGRAM GROUP**

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First, I'd like to thank you for agreeing to participate in the PROMISE study. Your participation will help us learn how programs and services for youth SSI recipients are working and how they can be improved so that youth like you can reach their full potential for education and employment.

Remember that youth who are participating in the study are being randomly placed in either a program group that will be eligible for [PROMISE/ASPIRE] services or a group that will be eligible for only those services that are usually available in their communities. A computer program is making these placements entirely by chance. The placements are not affected by the characteristics of the youth or by anything that they or the [PROMISE/ASPIRE] staff may say or do.

The computer program has placed you in the program group. This means that you will have access to [PROMISE/ASPIRE] services in addition to the services that are usually available to youth receiving SSI. [PROMISE/ASPIRE] services include [note several of the services]. A letter will be mailed to you formally notifying you of your assignment to the program group.

[Mention how program group members will be contacted to initiate services.]

Do you have any questions?

Thank you again for participating in the study. We look forward to working with you in this exciting program. Also, remember that interviewers from Mathematica will call you in about a year-and-a-half to ask you some questions about your activities in the program, in school, and in other aspects of your life.

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APPENDIX M

**SCRIPT FOR SPEAKING WITH A YOUTH OR PARENT/GUARDIAN
WHO IS UPSET WITH HIS OR HER
STUDY GROUP ASSIGNMENT**

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[Customize this sample script based on your experiences and training.]

Youth and family members who are upset by the results of the random assignment process or other PROMISE study features may be more receptive if you use active listening techniques. Such techniques include restating what the individual says to acknowledge that you have heard and understood his or her concerns.

I understand you're upset about being placed in the usual services group. You feel that by being in this group, [restate the youth's/parent's/guardian's specific concern, such as: you will not have access to the services you need to reach your goals].

First, I want to assure you that your placement was made strictly at random by a computer program that we have no control over. Nothing about you/your child influenced the placement. Nothing that you/your child or the program staff said or did influenced the placement. It was simply the luck of the draw.

I want you to know that although you/your child will not be able to access [PROMISE/ASPIRE] services, you/your child will still be able to use other services on our community that have helped youth to achieve their education and employment goals. These include [mention several non-PROMISE/ASPIRE services.] [Ask the youth/parent/guardian what services he/she has used in the past and highlight or "sell" those. Suggest some natural extensions or complements to those services. You may want to reference several of the services on the list that the youth was provided in conjunction with the study group notification letter.]

To get you started, I would be happy to introduce you to a staff person here who could help you identify the services you need and refer you to organizations or programs that provide those services, such as [insert name of an organization or program].

If you're still unhappy with this situation, you could speak with a manager here. What would you like to do?

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APPENDIX N

MANAGING YOUR ACCOUNT INFORMATION AND PROTECTING INFORMATION IN THE RANDOM ASSIGNMENT SYSTEM (RAS)

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The PROMISE Random Assignment System (RAS) contains personally identifiable information (PII) about the participants and their families. To keep this information secure, Mathematica has built many safeguards into the RAS. You also have an important role to play in keeping your account information up-to-date and using the RAS appropriately.

Managing Your Account Information

As an RAS user, you can manage your own account information in the RAS. You are able to:

- Change the email address and phone number saved in the RAS
- Change your password

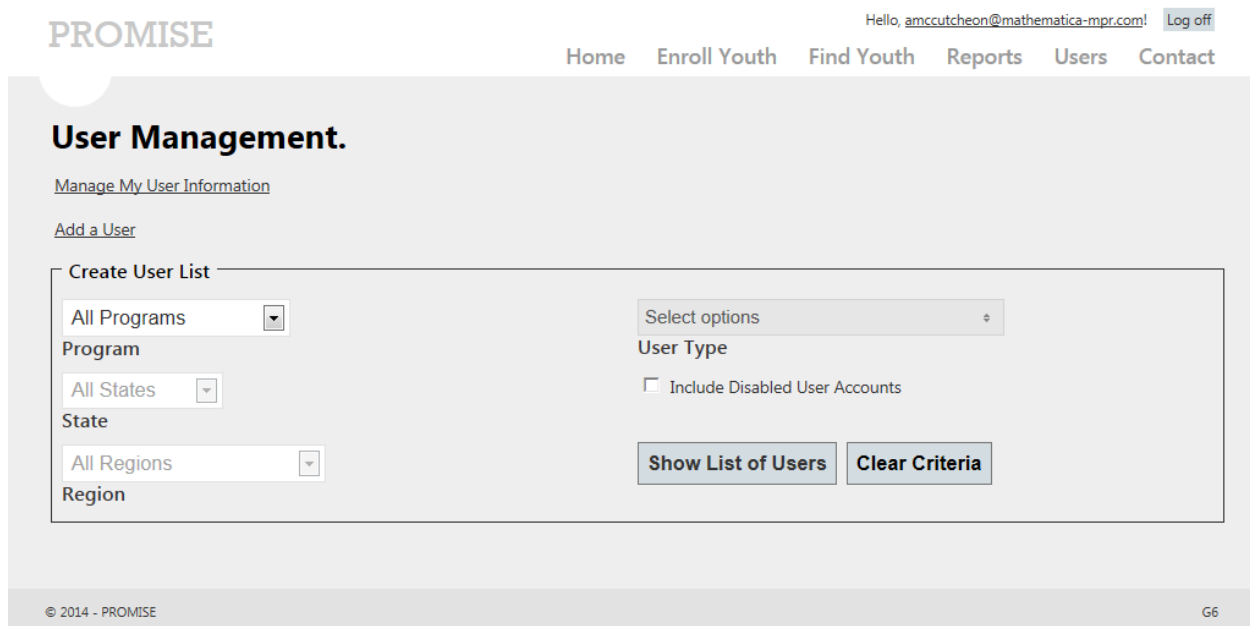
Those changes are made via the Change User Information page. Users navigate to that page by clicking on the Users link on the menu at the top of the screen (see Screenshot N.1). That link will take [\[PROMISE counselors/case managers\]](#) directly to their own User Information page.

Screenshot N.1 Users Link



If you are a program administrator or supervisor, navigating to the User Information page is a two-step process. After clicking on the Users link, the RAS brings you to the User Management page (Screenshot N.2), from which the Manage My User Information link will bring you to the your User Information page. Program administrators will be able to add users from this page as well.

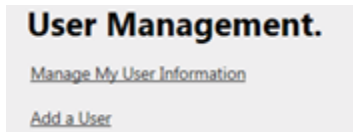
Screenshot N.2 User Management Page



Updating Your Contact Information

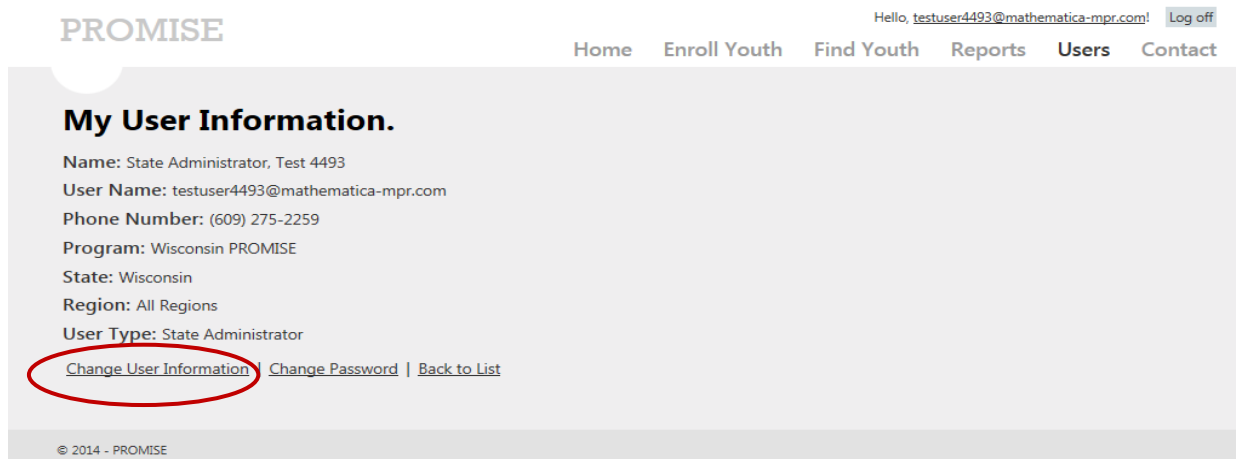
It is important that your contact information be correct, in case an evaluation liaison needs to contact you to discuss a youth with whom you have worked. Once on the User Management Page, you can update your own email address or phone number by clicking the Manage My User Information link (Screenshot N.3).

Screenshot N.3 Manage My User Information and Add a User Links



Once you click on the Manage My User Information link, you can navigate to the Change User Information Page (Screenshot N.4). On that page, enter the updated information and then press the Submit button to save the changes (Screenshot N.5).

Screenshot N.4 Manage My User Information Page



Screenshot N.5 Change User Information Page

Adding and Disabling Users

Only state or consortium administrators can add and disable users. To add a new user, click on the “Add a User” link (Screenshot N.3), complete the form (selecting the appropriate account type), and click save. To disable a user, check the “disable user account” box at the bottom of the “Change User Information” screen and click save. Supervisors should regularly review the list of users they supervise and disable the accounts of users who no longer need access to the RAS. Accounts can be re-activated later if necessary.

Table N.1 contains a summary of functions available at each user account level.

Table N.1. Summary of User Permissions

| Account Type | Add/Edit Youth within Program | Find Youth/View Summary Across all Programs | Manage User Accounts | Create Reports |
|---------------------------------------|-------------------------------|---|----------------------|----------------|
| Counselor | X | X | | |
| State Administrator ^a | X | X | X | X |
| Consortium Administrator ^b | X | X | X | X |

^a The “state administrator” account will allow users to manage accounts and create reports within a given state.

^b The “consortium administrator” account type will allow ASPIRE project administrators to manage user accounts and run reports across all six participating states. All other program administrators will be assigned to the “state administrator” account.

Screenshot N.6 Add New User Page

Add New User.

First name

Last name

User name (Enter the email address for the user name)

Phone

--Select preference

Authentication method

--Select user type

User type

--Select program

Program

--Select state

State

Select options

Region(s)

Save

Changing Your Password

You will be required to change your password every 30 days and will receive an automatic notification when it is time to do this. You are also welcome to change your password at other times. To change your password, click the your user name at the top right of the screen to go to the My User Information page (Screenshot N.7) and then click on the Change Password link to navigate to the Change Password page (Screenshot N.8). On that page you will enter your current (“old”) password once, then enter the password that you want to be your new password twice. Passwords are case sensitive, must be at least 8 characters in length, and must contain at least one letter, one number, and one special character (such as !, @, #, \$, or %). For security, keystrokes are hidden on the screen when you enter them.

Screenshot N.7 My User Information and Change Password Links

PROMISE Home Enroll Youth Find Youth Reports Users Contact

Hi [amccutcheon@mathematica-mpr.com!](#) [Log off](#)

My User Information.

Name: McCutcheon, AnnaMaria
User Name: AMcCutcheon@mathematica-mpr.com
Phone Number: (609) 750-4084
Program: All Programs
State: All States
Region: All Regions
User Type: Project Administrator

[Change User Information](#) | [Change Password](#) | [Back to List](#)

Screenshot N.8 Change Password Page

Change Password.

Passwords must be at least 8 characters, containing at least one letter, at least one number, and at least one special character (such as !,@,#,\$,%).

Current password

New password

Confirm new password

Protecting Participant Information in the RAS

You can help to protect participant information in the RAS by taking certain precautions when you use the RAS.

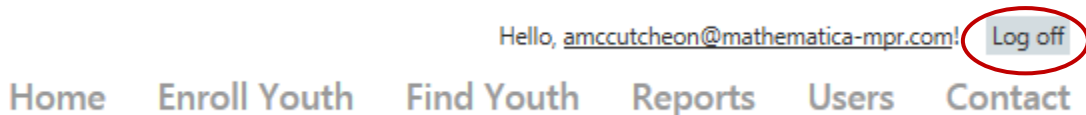
Account Security

Each RAS user must have his or her own account. Do not let anyone else use your account.

It is very important to keep your password secret. Do not share it with anyone else or write it down.

Always log out of the RAS when you're done using it or when you need to leave your computer. You can do this by clicking the Log Off link on the menu at the top of the screen (Screenshot N.9).

Screenshot N.9 Log Off Link



Session Timeout

To prevent access to the RAS by unauthorized users, the system will automatically log you out after 20 minutes of inactivity. Be sure to save your work regularly, which will let the RAS know that you are still active and will prevent any unsaved changes from being lost if the RAS logs you out.

If you are logged into the RAS for 2 hours, you will be automatically logged out and need to log in again.

Disabling Accounts

If you stop working on the PROMISE project or no longer need access to the RAS, ask your supervisor to disable your account. Your account can be re-activated later if necessary.

Supervisors should regularly review the list of users they supervise and disable the accounts of users who no longer need access to the RAS. Accounts can be re-activated later if necessary.

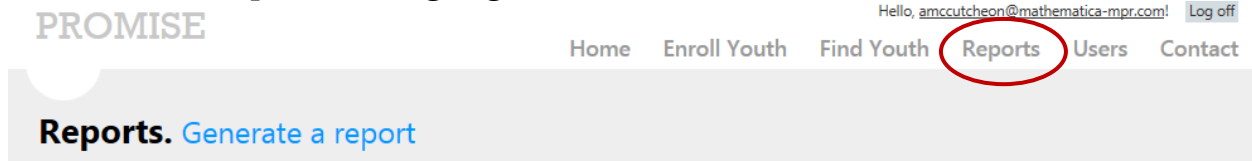
APPENDIX O

**MANAGER/ADMINISTRATOR INFORMATION
ON RAS REPORTING FUNCTIONS**

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The PROMISE Random Assignment System (RAS) will allow state and consortium administrators to run a series of reports for their respective programs. Click on the “Reports” link on the top menu bar to view the reports landing page (Screenshot O.1). This page will display links to the reports described below.

Screenshot O.1 Reports Landing Page



Enrollment by Month Report

The top section of this report will display some basic information about your program. The bottom section will include a detailed table on actual enrollment by month to each of the study groups and in total. The current month will be displayed; however, the counts will not be final until the last business day of the month. Screenshot O.2 contains the enrollment by month report specifications.

Screenshot O.2 Enrollment by Month Report Specifications

PROMISE Monthly Enrollment in [Program Name], through [run date]

| | | |
|------------|------------------|-------------------------------------|
| Start Date | Planned End Date | % of Enrollment Period Elapsed |
| J | K | $([\text{run date}] - J) / (K - J)$ |

| | | |
|-------------------------|---------------------------------|----------------------|
| Total Target Enrollment | Total Actual Enrollment to Date | % of Target Achieved |
| T | Sum C | Sum C / T |

| Month | | Actual Enrollment to Date | | |
|---------------|----------------------------|---------------------------|----------------|----------------------------------|
| Study Month | Calendar Month | Program | Usual Services | Total |
| Total | | Sum A | Sum B | Sum C = Sum A + Sum B |
| Month (n) | [Current Month/Year] | A_n | B_n | $C_n = A_n + B_n$ |
| Month (n - 1) | [Current Month/Year - 1] | A_{n-1} | B_{n-1} | $C_{n-1} = A_{n-1} + B_{n-1}$ |
| Month (n - 2) | [Current Month/Year - 2] | A_{n-2} | B_{n-2} | $C_{n-2} = A_{n-2} + B_{n-2}$ |
| Month (n - 3) | [Current Month/Year - 3] | A_{n-3} | B_{n-3} | $C_{n-3} = A_{n-3} + B_{n-3}$ |
| ... | ... | ... | ... | ... |
| Month 1 | [Start Month] [Start Year] | A_1 | B_1 | $C_1 = A_1 + B_1$ |

Enrollment by Region Report

The top section of this report will display some basic information about your program. The bottom section will include a detailed table on actual enrollment by region to each of the study groups and in total. Screenshot O.3 contains the enrollment by region report specifications.

Screenshot O.3 Enrollment by Region Report Specifications

PROMISE

Cumulative Enrollment in [Program Name] by [Region] through [rundate]

| | | |
|------------|------------------|-------------------------------------|
| Start Date | Planned End Date | % of Enrollment Period Elapsed |
| J | K | $([\text{run date}] - J) / (K - J)$ |

| | | |
|-------------------------|---------------------------------|----------------------|
| Total Target Enrollment | Total Actual Enrollment to Date | % of Target Achieved |
| T | Sum R | Sum R / T |

| [Program Name] | Actual Enrollment to Date | | |
|----------------|---------------------------|----------------|----------------------------------|
| | Program | Usual Services | Total |
| Total | Sum A | Sum B | Sum R = Sum A + Sum B |
| [Region 1] | A_n | B_n | $R_n = A_n + B_n$ |
| [Region 2] | A_{n-1} | B_{n-1} | $R_{n-1} = A_{n-1} + B_{n-1}$ |
| [Region 3] | A_{n-2} | B_{n-2} | $R_{n-2} = A_{n-2} + B_{n-2}$ |
| [Region 4] | A_{n-3} | B_{n-3} | $R_{n-3} = A_{n-3} + B_{n-3}$ |
| ... | ... | ... | ... |
| [Region Final] | A_1 | B_1 | $R_1 = A_1 + B_1$ |

Enrollment by Study Group Report

The top section of this report will display some basic information about your program. The bottom section will include a detailed table on actual enrollment by study group assignment, the program group and the usual services group. The report also provides the Study ID number and the associated study group at the individual level. Screenshot O.4 contains the enrollment by region report specifications.

Screenshot O.4: Enrollment by Study Group Specifications

PROMISE

[Program Name] RA Group Assignment through [rundate]

| Start Date | Planned End Date | % of Enrollment Period Elapsed |
|------------|------------------|-------------------------------------|
| J | K | $([\text{run date}] - J) / (K - J)$ |

| Total Target Enrollment | Actual Enrollment to Date | | | % of Target Achieved |
|-------------------------|---------------------------|----------------|-------------|----------------------|
| | Program | Usual Services | Total | |
| T | P | Q | $R = P + Q$ | R / T |

| [Program Name] | |
|----------------|----------------|
| Study ID | RA Group |
| 10001 | Program |
| 10002 | Program |
| 10003 | Usual Services |
| 10004 | Usual Services |
| ... | Program |

[Run Date] [Run Time]

In addition to using the Enrollment by Region and Enrollment by Month reports to track enrollment, we recommend using these reports to monitor the integrity of study group assignment. We encourage program administrators to compare monthly or regional RAS reports of program and usual services enrollment to reports on the number of program and/or usual services recorded in the state MIS system. If there are any discrepancies in the aggregate counts between the two systems, we encourage program administrators to use the Enrollment by Study Group report to identify those cases in which there is a discrepancy in the study group assignment between the two systems.

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