**Supporting Statement for**

**RSI/DI Quality Review Case Analysis - Sampled Number Holder; Auxiliaries/Survivors; Parent; Stewardship Annual Earnings Test**

**OMB: 0960-0189**

1. **Justification**
2. **Introduction/Authorizing Laws and Regulations**

Section *205(a)* of the *Social Security Act* *(Act)* authorizes the Commissioner of the Social Security Administration (SSA) to conduct the quality review process, which entails collecting information related to the accuracy of payments made under the Old-Age, Survivors, and Disability Insurance Program (OASDI). Sections *228(a)(3), 1614(a)(1)(B),* and *1836(2)* of the *Act* require a determination of the citizenship or alien status of the beneficiary; this is only one item that we might question as part of the Annual Quality review.

1. **Description of Collection**

SSA uses Forms SSA-2930, SSA-2931, and SSA-2932 to establish a national payment accuracy rate for all cases in payment status, and to serve as a source of information regarding problem areas in the Retirement Survivors Insurance (RSI) and Disability Insurance (DI) programs. We also use the information to measure the accuracy rate for newly adjudicated RSI or DI cases. SSA uses Form SSA‑4659 to evaluate the effectiveness of the annual earnings test, and to use the results in developing ongoing improvements in the process. About twenty-five percent of respondents have in-person reviews and receive one of the following appointment letters: (1) SSA-8550 (Appointment Letter – Sample Individual); (2) SSA-L8551-U3 (Appointment Letter – Sample Family); or (3) the SSA-8552 (Appointment Letter – Rep Payee). Seventy‑five percent of respondents receive a notice for a telephone review using the SSA-8553 (Beneficiary Telephone Contact), or the SSA-8554 (Rep Payee Telephone Contact). To help the beneficiary prepare for the interview, we include three forms with each notice: (1) SSA-85 (Information Needed to Review Your Social Security Claim), which lists the information the beneficiary will need to gather for the interview; (2) SSA-2935 (Authorization to the Social Security Administration to Obtain Personal Information), which verifies the beneficiary’s correct payment amount, if necessary; and (3) SSA-8552 (Interview Confirmation), which confirms or reschedules the interview if necessary. The respondents are a statistically valid sample of all OASDI beneficiaries in current pay status or their representative payees.

1. **Use of Information Technology to Collect the Information**

While these forms are available as PDF versions on SSA’s website, beneficiaries never fill out the forms directly. We collect all of the information on these forms through telephone interviews with the beneficiaries. The SSA employee conducting the interview writes down the answers to the questions directly on the paper form for the telephone interviews. SSA is unable to create an Internet version of this information collection, as stated above, the information is collected solely via interviews. We will reassess this ability if and when technological advances are created that would allow for us to make this collection available via the Internet.

1. **Why We Cannot Use Duplicate Information**

The nature of the information we collect and the manner in which we collect it preclude duplication. SSA does not use another collection instrument to obtain similar data.

1. **Minimizing Burden on Small Respondents**

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

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

If we did not use these forms, SSA would have no way to effectively evaluate and recommend ongoing improvements for the OASDI program. In addition, if we did not collect this information, it would result in insufficient coverage; we would lose data on the effects of policy and program changes; and users of this data (including Congress; SSA; other Federal agencies; the media; and the general public) would have to plan without firm knowledge of program characteristics. Because we collect the information on an as-needed basis, we cannot collect it less frequently. There are no technical or legal obstacles to burden reduction.

1. **Special Circumstances**

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

1. **Solicitation of Public Comment and Other Consultations with the Public**

The 60-day advance Federal Register Notice published on June 24, 2020, at 85 FR 37996, and we received no public comments. The 30-day FRN published on September 25, 2020 at 85 FR 60509. If we receive any comments in response to this Notice, we will forward them to OMB.

1. **Payment or Gifts to Respondents**

SSA does not provide payments or gifts to the respondents.

1. **Assurances of Confidentiality**

SSA protects and holds confidential the information it collects in accordance with *42 U.S.C. 1306, 20 CFR 401* and *402, 5 U.S.C. 552* (Freedom of Information Act), *5 U.S.C. 552a* (Privacy Act of 1974), and OMB Circular No. A-130.

1. **Justification for Sensitive Questions**

The information collection does not contain any questions of a sensitive nature.

1. **Estimates of Public Reporting Burden**

Please see the burden chart below:

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Modality of Completion** | **Number of Respondents** | **Frequency of Response** | **Average Burden per Response (minutes)** | **Estimated Total Annual Burden (hours)** | **Average Theoretical Hourly Cost Amount (dollars)\*** | **Average Wait Time in Field Office**  **(minutes) \*\*** | **Total Annual Opportunity Cost (dollars)\*\*\*** |
| SSA-2930 | 1,500 | 1 | 30 | 750 | $18.23\* | 24\*\* | $24,611\*\*\* |
| SSA-2931 | 850 | 1 | 30 | 425 | $18.23\* | 24\*\* | $13,946\*\*\* |
| SSA-4659 | 325 | 1 | 10 | 54 | $18.23\* | 24\*\* | $3,354\*\*\* |
| SSA-L8550-U3 | 385 | 1 | 5 | 32 | $18.23\* | 24\*\* | $3,390\*\*\* |
| SSA-L8551-U3 | 95 | 1 | 5 | 8 | $18.23\* | 24\*\* | $839\*\*\* |
| SSA-L8552-U3 | 35 | 1 | 5 | 3 | $18.23\* | 24\*\* | $310\*\*\* |
| SSA-L8553-U3 | 4,970 | 1 | 5 | 414 | $18.23\* | 24\*\* | $43,788\*\*\* |
| SSA-L8554-U3 | 705 | 1 | 5 | 59 | $18.23\* | 24\*\* | $6,217\*\*\* |
| SSA-8552 | 2,350 | 1 | 5 | 196 | $18.23\* | 24\*\* | $20,709\*\*\* |
| SSA-85 | 3,850 | 1 | 5 | 321 | $18.23\* | 24\*\* | $33,926\*\*\* |
| SSA-2935 | 2,350 | 1 | 5 | 196 | $18.23\* | 24\*\* | $20,709\*\*\* |
| SSA-8510 (also saved under OMB No. 0960-0707) | 800 | 1 | 5 | 67 | $18.23\* | 24\*\* | $7,055\*\*\* |
| **Totals** | **18,215** |  |  | **2,525** |  |  | **$178,854\*\*\*** |

\* We based this figure on averaging both the average DI payments based on SSA's current FY 2020 data (<https://www.ssa.gov/legislation/2020Fact%20Sheet.pdf>), and the average U.S. worker’s hourly wages, as reported by Bureau of Labor Statistics data (<https://www.bls.gov/oes/current/oes_nat.htm>).

\*\* We based this figure on the average FY 2020 wait times for field offices, based on SSA’s current management information data.

\*\*\* This figure does not represent actual costs that SSA is imposing on recipients of Social Security payments to complete this application; rather, these are theoretical opportunity costs for the additional time respondents will spend to complete the application. **There is no actual charge to respondents to complete the application**.

In addition, OMB’s Office of Information and Regulatory Affairs is requiring SSA to use a rough estimate of a 30-minute, one-way, drive time in our calculations of the time burden for this collection. OIRA based their estimation on a spatial analysis of SSA’s current field office locations and the location of the average population centers based on census tract information, which likely represents a 13.97-mile driving distance for one-way travel. We depict this on the chart below:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Total Number of Respondents Who Visit a Field Office | Frequency of Response | Average One-Way Travel Time to a Field Office (minutes) | Estimated Total Travel Time to a Field Office (hours) | Total Annual Opportunity Cost for Travel Time (dollars)\*\*\*\*\* |
| 4,554\*\*\*\* | 1 | 30 | 2,277 | $41,510 |

\*\*\*\* Per #2 above, we used 25% of total respondents (Percentage of people who have in-person interviews)

\*\*\*\*\* We based this dollar amount on the Average Theoretical Hourly Cost Amount in dollars shown on the burden chart above.

Per OIRA, we include this travel time burden estimate under the 5 CFR 1320.8(a)(4), which requires us to provide “time, effort, or financial resources expended by persons [for]…transmitting, or otherwise disclosing the information,” as well as 5 CFR 1320.8(b)(3)(iii) which requires us to estimate “the average burden collection…to the extent practicable.” SSA notes that we do not obtain or maintain any data on travel times to a field office, nor do we have any data, which shows that the average respondent drives to a field office, rather than using any other mode of transport. SSA also acknowledges that respondents’ mode of travel and, therefore, travel times vary widely dependent on region, mode of travel, and actual proximity to a field office.

NOTE: We included the total opportunity cost estimate from this chart in our calculations when showing the total opportunity cost estimates in the paragraph below.

The total burden for this ICR is **2,525** burden hours (reflecting SSA management information data), which results in an associated theoretical (not actual) opportunity cost financial burden of **$220,364**. SSA does not charge respondents to complete our applications.

1. **Annual** **Cost to the Respondents (Other)**

This collection does not impose a known cost burden on the respondents.

1. **Annual Cost To Federal Government**

The annual cost to the Federal Government is approximately $79,929. This estimate accounts for costs from the following areas:

|  |  |  |
| --- | --- | --- |
| **Description of Cost Factor** | **Methodology for Estimating Cost** | **Cost in Dollars\*** |
| Designing, Printing, and Distributing the Form | Design Cost + Printing Cost + Distribution Cost | $759 |
| SSA Employee (e.g., field office, 800 number, DDS staff) Information Collection and Processing Time | GS-9 employee x # of responses x processing time | $75,750 |
| Systems Development, Updating, and Maintenance | GS-9 employee x man hours for development, updating, maintenance | $3,420 |
| Total |  | $79,929 |

SSA is unable to break down the costs to the Federal government further than we already have.  First, since we work with almost every US citizen, we often do bulk mailings, and cannot track the cost for a single mailing. We do not track design costs or upkeep costs (as these are based on employee time and may vary from collection to collection).  In addition, it is difficult for us to break down the cost for processing a single form, as field office and State Disability Determination Services staff often help respondents fill out several forms at once, and the time it takes to do so can vary greatly per respondent. As well, because so many employees have a hand in each aspect of our forms, we use an estimated average hourly wage, based on the wage of our average field office employee (GS-9) for these calculations. Finally, SSA prefers not to provide breakdowns of estimated payment to employees who process these items for a variety of reasons (only one of which is that it is not possible to do this entirely accurately).

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

There are no changes to the public reporting burden.

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

SSA’s Office of Quality Review prepares and publishes the results of this information collection. See Part B for more information.

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

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

1. **Exceptions to Certification Statement**

SSA is not requesting an exception to the certification requirements at *5 CFR 1320.9* and related provisions at *5 CFR 1320.8(b)(3)*.