

**Supporting Statement for
RSI/DI Quality Review Case Analysis - Sampled Number Holder; Auxiliaries/Survivors;
Parent; Stewardship Annual Earnings Test
OMB: 0960-0189**

A. Justification

1. 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.

2. 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.

All 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.

The following is a description of case development and the process used to conduct data collection:

- 1) The Office of Quality Review (OQR) conducts Stewardship Reviews to provide an assessment of the accuracy of payments in the Title II program. Quality Review Analyst (QRA)s are responsible for reviewing all

non-medical factors of entitlement to ensure payment accuracy for RSI and DI cases;

- 2) Case development begins by conducting a Desk Review. The Desk Review consists of reviewing all SSA records and repositories for case related information and proof of factors of entitlement. Findings are recorded on the RSDI Quality Review Case Analysis Workbook (SSA-2930);
- 3) QRAs then schedule and conduct telephone interviews with beneficiaries to reexamine their entitlement to benefits. The beneficiary's responses during the Telephone Review are recorded on the SSA-2930. If proof of entitlement (age/citizenship, marriage/divorce, student status, non-covered pensions, and military service) is not obtained during the Desk Review, the QRA will request this information during the Telephone Review process. QRAs also utilize collateral contacts to obtain information and evidence needed to complete the review. Examples of collateral contact sources are local post offices, police departments, neighbors/third parties, financial institutions when benefits are paid via direct deposit, and Bureaus of Vital Statistics; and,
- 4) After receiving any requested evidence, the QRA completes the Consolidated Review on the SSA-2930. During the Consolidated Review process, QRAs compare case development findings from the Desk Review and Telephone Review for validity, inconsistencies are resolved, and make final determinations on factors of eligibility and entitlement.

3. 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.

4. Why We Cannot Use Duplicate Information

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

5. Minimizing Burden on Small Respondents

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

6. **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.
7. **Special Circumstances**
There are no special circumstances that would cause SSA to conduct this information collection in a manner inconsistent with 5 *CFR* 1320.5.
8. **Solicitation of Public Comment and Other Consultations with the Public**
The 60-day advance Federal Register Notice published on 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.
9. **Payment or Gifts to Respondents**
SSA does not provide payments or gifts to the respondents.
10. **Assurances of Confidentiality**
SSA protects and holds confidential the information it collects in accordance with 42 *U.S.C.* 1306, 20 *CFR* 401 and 402, 5 *U.S.C.* 552 (Freedom of Information Act), 5 *U.S.C.* 552a (Privacy Act of 1974), and OMB Circular No. A-130.
11. **Justification for Sensitive Questions**
The information collection does not contain any questions of a sensitive nature.
12. **Estimates of Public Reporting Burden**
There are 1,800 individuals contacted each year to participate in the case review. Because of the nature of their benefits, each individual will complete some of the below forms associated with this information collection. 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 for Teleservice Call Centers (minutes)	Total Annual Opportunity Cost (dollars)***

						**	
SSA-2930	1,500	1	30	750	\$18.23*	17**	\$21,420***
SSA-2931	850	1	30	425	\$18.23*	17**	\$12,141***
SSA-4659	325	1	10	54	\$18.23*	17**	\$2,662***
SSA-L8550-U3	385	1	5	32	\$18.23*	17**	\$2,570***
SSA-L8551-U3	95	1	5	8	\$18.23*	17**	\$638***
SSA-L8552-U3	35	1	5	3	\$18.23*	17**	\$237***
SSA-L8553-U3	4,970	1	5	414	\$18.23*	17**	\$33,215***
SSA-L8554-U3	705	1	5	59	\$18.23*	17**	\$4,722***
SSA-8552	2,350	1	5	196	\$18.23*	17**	\$15,714***
SSA-85	3,850	1	5	321	\$18.23*	17**	\$25,741***
SSA-2935	2,350	1	5	196	\$18.23*	17**	\$15,714***
SSA-8510 (also saved under OMB No. 0960-0707)	800	1	5	67	\$18.23*	17**	\$5,360***
Totals	18,215			2,525			\$140,134***

* 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 2022 wait times for teleservice centers, 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.**

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 **\$140,134**. SSA does not charge respondents to complete our applications. We base our burden estimates on current management information data, which includes data from actual interviews, as well as from years of conducting this information collection. Per our management information data, we believe that the times above accurately shows the average burden per response for reading the instructions, gathering the facts, and answering the questions. Based on our current management information data, the current burden information we provided is accurate.

13. Annual Cost to the Respondents (Other)

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

14. 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).

15. Program Changes or Adjustments to the Information Collection Request

There are no changes to the public reporting burden.

16. Plans for Publication Information Collection Results

SSA's Office of Quality Review prepares and publishes the results of this information collection. SSA uses this information to produce the OASDI payment accuracy rates and improper payment estimates for the Agency's Financial Report.¹ See Part B for more information.

17. Displaying the OMB Approval Expiration Date

OMB granted SSA an exemption from the requirement to print the OMB expiration date on its program forms. SSA produces millions of public-use forms

¹ [The Social Security Administration's Agency Financial Report \(AFR\) for FY 2020](#)

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

18. Exceptions to Certification Statement

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