Training and reporting on European Social Security

Collection of statistical data concerning the application of Regulations (EC) Nos 883/2004 and 987/2009 (A.C. 017/12)

Statistical Study 2012
Interim report

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List of abbreviations

DG EMPL	Directorate General Employment, Social Affairs and Inclusion
EEA	European Economic Area
EESSI	Electronic Exchange of Social Security Information
EHIC	European Health Insurance Card
ESSPROS	European system of integrated social protection statistics
LTC	Long-Term Care
NACE	Nomenclature générale des Activités économiques dans les Communautés Européennes
OECD	Organisation for Economic Co-operation and Development
SED	Structured Electronic Document
SILC	Statistics on Income and Living Conditions
LFS	Labour Force Survey
PD	Portable Document
SHA	System of health accounts
UN	United Nations

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Introduction

In this interim report the activities and steps undertaken to define a first list of horizontal and branch specific key indicators assessing the functioning of basic Regulation (EC) No 883/2004 and implementing Regulation (EC) No 987/2009, are described in detail.

Next to this, a proposal of key indicators is presented taking into account the input during the process of information collection on interesting indicators. The methodology to collect information on these indicators is explained below. A pragmatic approach has been used, taking into account not only the relevancy of these indicators but also the feasibility to collect data. It should be the ambition to have in a relative short term a view on most of these indicators. For that reason we especially focus on administrative information and surveys organised at European level. The implementation of EESSI (Electronic Exchange of Social Security Information) is at this moment planned for May 2014. For some of the indicators the use of EESSI will be needed. Some of them will be available within the European Commission (Header) but most of the time detail (Body) will be asked to the competent national institutions. We are convinced that EESSI can/will offer a treasure of relevant data. Nevertheless, in the meantime (a lot of) statistics and indicators can be produced by other administrative and survey sources.

1 | A description of activities undertaken by trESS

Article 91 of Regulation (EC) No 987/2009 states that statistical data concerning the application of basic Regulation (EC) No 883/2004 and implementing Regulation (EC) No 987/2009 shall be collected by the competent institutions in the Member States under the supervision of the Administrative Commission. These statistical data should allow Member States and the European Commission to assess the functioning of both regulations and to suggest improvements. In view of this ambition an Ad Hoc Group was set up with a mandate to investigate the type of statistical data that should be collected in accordance with Article 91 of Regulation (EC) No 987/2009.

The mandate of the Ad Hoc Group describes the following activities:

- set out five to ten horizontal key indicators and for each branch of social security three to five specific key indicators;
- propose the methodology to collect these key indicators (survey data, administrative data, EESSI).

1.1 Historical background

The ambition to collect statistical data was already taken up in the old Regulation (ECC) No 574/72 implementing Regulation (ECC) No 1408/71. Regarding Article 103 of this regulation 'the competent authorities of the Member States shall take all of the necessary measures for the implementation of the present Title, in particular those necessitating the compilation of statistical or accounting data'. Recommendation No 16 of the Administrative Commission (12 December 1984) listed different indicators that should be collected. However, for almost all of these indicators there is even after three decades no data available. Nevertheless, this Recommendation can be assumed a basic reference in our ambition to define key indicators.

In more recent times a statistical report from trESS was presented at the 329th meeting of the Administrative Commission on 13-14 December 2011 (see note AC 612/11). This report, 'Statistics for the evaluation of the Coordination Regulation',[1] makes an overview of available statistics that could be relevant for assessing the functioning of Regulation 883/2004. Also, indicators are proposed dealing with the evaluation of the Regulation, dividing them by 'stage' type: currently computable indicators (stage 1), indicators computable in the near future from

1 Cantillon, B., Mussche, N., Van den Heede, A., Corluy, V. (2011)

EESSI (stage 2) and indicators not computable for the moment (stage 3). To follow up this report from the trESS network, the Administrative Commission approved the principle of setting up an Ad Hoc Group composed of trESS statistical experts and experts from the Member States. Bringing together legal/administrative needs and statistical expertise was deemed necessary in order to establish relevant and solid indicators.

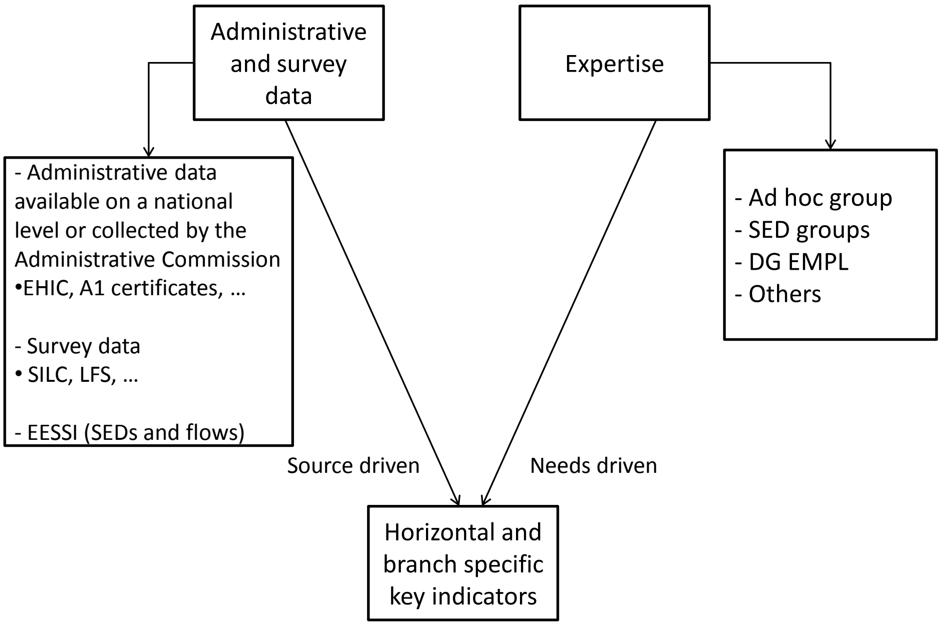
1.2 Involvement of trESS statistical and legal experts and experts from the Member States in the Ad Hoc Group

The note from the Secretariat of 16 March 2012 nominates different national experts to the Ad Hoc Group Statistics (AC 130/12REV2). The trESS statistical experts are Prof. Jozef Pacolet and Frederic De Wispelaere (HIVA – KU Leuven) and the legal experts Prof. József Hajdu and Gabriella Berki (University of Szeged). These trESS experts prepare and steer the Ad Hoc Group meetings. Also, they have to deliver an interim and final report based on the input of the Ad Hoc Group, but also on the input from external sources. Also, Michael Coucheir represents the trESS Management in the Ad Hoc Group meetings. Estela Luca and Jonathan Olsson are the contact persons within the European Commission – DG Employment. The list of members of the Ad Hoc Group is included in Appendix 1. Later on those proposed indicators should be streamlined with the reporting for the Audit Board.

1.3 Description of the work process

We have followed during the work process a twin-track policy, focusing on 'source driven' indicators as well as on 'needs driven' indicators. Indicators can be defined by way of already existing administrative data and survey data *('source driven')* but also competent authorities and other (legal) experts can define indicators without looking at these possible data sources *('needs driven')*. Different sources which can deliver 'source driven' indicators have been verified. Already some data have been collected by the European Commission by means of questionnaires to the different national competent institutions, this more particular for A1 certificates and European Health Insurance Cards (EHIC). In the past also a questionnaire relating to planned health care was sent. Besides, indicators which can be extracted from surveys organised on EU level can be defined (this was already done in the first statistical report 'Statistics for the evaluation of the Coordination Regulation). Some interesting variables can be selected for instance in the LFS or SILC. Finally one can look at the Structured Electronic Documents (SEDs) within EESSI to define some potential interesting indicators. By consulting experts in the field of the coordination of social security systems, and asking their needs concerning the functioning of the Regulation, 'needs driven' indicators are collected. For these 'needs driven' indicators, we have made use of the expertise of the Ad Hoc Group but have also consulted the SED groups, members of DG EMPL – Unit B/4 and other national experts. Afterwards, both types of indicators are integrated in 'final' key indicators. The criteria are the need for relevant, reliable and feasible statistics.

Figure 1.1 Source driven and needs drive indicators

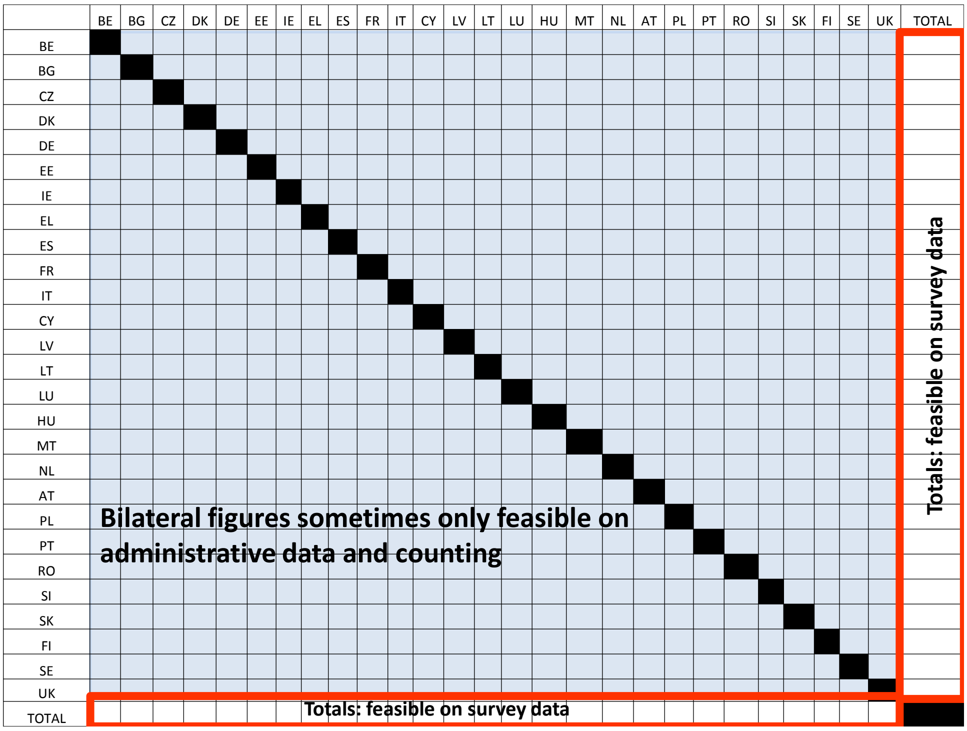


Source Own figure

The determination of horizontal (assessing the global functioning of the Coordination Regulation) and branch specific key indicators (assessing the functioning of a specific branch within the Coordination Regulation) is only one step in the work process. Another will be the collection of specific data from administrative and/or survey sources. The verification of the feasibility and reliability will be completed by this step. In the figure below the method to register most of the indicators is showed. However, the detail of the flows between countries depends on the data source. Administrative data and censuses allow detailed information on the flow between countries (figures 1.2 and 1.3). Survey data are less reliable for the bilateral figures but more robust for the total numbers because of the lack of sufficient observations (sample size) in the detailed cells.[2] Nevertheless, since they are population based surveys, they are defined to provide those population wide estimates for detailed aspects as well. Some of those figures can be estimated/counted from both sides (competent State versus residing State, working State versus living State). In case of differences, they need to be reconciled (figure 1.3).

2 E.g. for the EU-SILC three levels of reliability are defined in relation to the sample size: 50 or more sample observations= reliable, between 20 to 49 observations= unreliable, fewer than 20 observations= not published (see Eurostat, 2011 and Commission Regulation N° 1982/2003).

Figure 1.2 Flows between countries: the use of administrative or survey data



Source Own figure

Figure 1.3 Flows between one Member State and others, case of Belgium: reconciliation of bilateral flows

	Own counts		Counts in other MS		
	Debet	Credit	Credit	Debet	
BE					**BE**
BG					BG
CZ					CZ
DK					DK
DE					DE
EE					EE
IE					IE
EL					EL
ES					ES
FR					FR
IT					IT
CY					CY
LV					LV
LT					LT
LU					LU
HU					HU
MT					MT
NL					NL
AT					AT
PL					PL
PT					PT
RO					RO
SI					SI
SK					SK
FI					FI
SE					SE
UK					UK
TOTAL					TOTAL

Source Own figure

In table 1.1 we give an overview of the timeline of the activities of the Ad Hoc Group Statistics between June and October 2012. It gives insight into to the large involvement of the Ad Hoc

Group Statistics in the ambition to define relevant indicators. Furthermore, we made use of other 'channels' to get a good overview of possible interesting indicators. The different steps mentioned in the timeline are hereafter further described in detail.

Table 1.1 Timeline work process

Month	Activity	Day(s)
June	First meeting Ad hoc group Statistics	15
June	Invitation to Ad hoc group Statistics to assess 'source driven' indicators and propose 'needs driven' indicators	22
July	Final date assessment 'source driven' indicators	6
July	Reminder to comment on 'source driven' indicators (because of lack of response on final day)	9
July	Final day for comments on 'source driven' indicators	20
July	Launch web survey to SED groups	
August	Final day to propose 'needs driven' indicators	15
August	Reminder to define 'needs driven' indicators (because of lack of response on final day)	20
September	Final day to propose 'needs driven' indicators	3
September	Final day web survey SED groups	14
September	Consultation national experts Belgium	11, 18
September	Meeting with DG EMPL	14
September	Second meeting Ad hoc group Statistics	19
October	Question to Ad hoc group Statistics to assess detailed analysis and to propose key indicators	3
October	Final day input detailed analysis and key indicators	12
October	Reminder to Ad hoc group Statistics (because of lack of response on final day)	15
October	Reminder to SED groups	15
October	Final day input assessment detailed analysis and proposal key indicators	19
October	Meetings experts DG EMPL	22, 24
October	Interim Report	31

Source Own table

1.3.1 Assessment of the 'source driven' indicators

1.3.1.1 By the trESS experts

The report on 'Statistics for the evaluation of the Coordination Regulation' (see note AC 612/11) was presented by the trESS statistical team at the first meeting with the Ad Hoc Group. An overview was given of available statistical data based on different sources (censuses, survey data, administrative data and EESSI).

Regarding the use of survey data, two important EU surveys appear, namely the Labour Force Survey (EU-LFS) and the Statistics on Income and Living Conditions (SILC). They are the source of many recently defined social indicators at European level. Both surveys are more recently also used in reports on migration and cross-border mobility (see point 1.3.4.7 in this report).

Furthermore, all the proposed indicators were discussed in detail. We observed an unequal distribution of the defined indicators over the different social security branches. In total 33 indicators were defined in the report, of which 14 horizontal indicators, 8 indicators on sickness benefits, 6 indicators on unemployment benefits, 3 indicators on old-age benefits, 1 indicator on family benefits and 1 indicator on accidents at work. Some social security branches (e.g. invalidity) are not captured by one of the indicators and other branches are insufficiently highlighted (e.g. old-age benefits, family benefits).

1.3.1.2 By the Ad Hoc Group Statistics

a) Methodology

The Ad Hoc Group was asked to assess the first list of, to a large extent 'source driven', indicators presented in the statistical report by way of an evaluation form. We asked to evaluate each of the indicators on relevancy and feasibility. If the indicator was assumed as not relevant and/or not feasible the Ad Hoc Group had to write 0 (=NO). If the indicator was observed as maybe relevant and/or maybe feasible they had to write 1 (=MAYBE). Finally, if the indicator was relevant and/or feasible they had to write 2 (=YES). If they did not have an idea about the relevancy and/or feasibility of the specific indicator, we asked to write nothing. Also, the members of the Ad Hoc Group had the possibility to write their comments concerning the relevancy and feasibility of the indicators.

b) Results

For all indicators the average score on relevance and feasibility is given. Most of the indicators assumed as highly relevant by the Ad Hoc Group, are today available by administrative or survey data (table 1.2). Only the indicators focusing on SEDs cannot be counted at this moment. However, in the meantime an alternative indicator could be defined. Some of the indicators perceived as not relevant by the Ad Hoc Group can nevertheless be very useful. For example, is the total amount of social protection expenditures per country necessary to have an idea of the impact of cross-border expenditure on the total amount? In general, we observe three interesting types/dimensions of indicators: indicators which focus on the number of forms/involved persons (e.g. the number of issued A1 forms), indicators which focus on the related amounts (e.g. health reimbursements) and indicators which focus on the performance (% of SED delayed for more than a certain time).

Table 1.2 Assessment of the 'source driven' indicators by the Ad Hoc Group: summary

Type of indicator	Relevant	Feasible	Comments
Horizontal indicators (including 'applicable legislation')			
Mobility of European citizens	0.86	1.29	Considered as not the most relevant indicator by the Ad Hoc Group. However, available in LFS and in detail very useful (e.g. by type: pensioners, frontier workers, cross-border workers, …).
E101/A1 issued by issuing country, by destination country and by sector of economic activity	1.67	1.71	Considered as the most important horizontal indicator by the Ad Hoc Group. Data are already asked by DG EMPL.
Social protection expenditure, current, by function, gross and net	0.14	1.00	Considered as not important by the Ad Hoc Group. However, we will need these data to compare cross-border social expenditure with total social expenditure. The data are available by ESSPROS.
Stock of foreign (born) population, resident in the country for at least X years	1.00	1.00	Not the focus of the regulation. Is 'country of birth' a good variable to use?
Percentage distribution of mean reason for migration, years of residence, sex and age	0.17	1.20	Not the focus of the regulation.
Total number of foreigners including citizens of other EU Member States and non-EU citizens, usually resident in the reporting country	1.14	1.00	
Number of people who lived and/ or worked in a country other than the country of residence	0.71	1.00	
EU citizens who having worked abroad	1.14	1.17	
Number of people who envisage to work abroad sometime in the future	0.63	0.67	
Number of countries which are EESSI-enabled	0.50	1.50	All Member States will be involved in EESSI
Number of SED exchanged (monthly)	1.13	1.75	
% of SED delayed by more than xx time (monthly)	1.14	1.71	Need of process evaluation (performance indicator)
% of exchanges that are completely successfully	1.13	1.86	Need of process evaluation (performance indicator)
Year-to-year mobility, by country of origin, country of destination, age, sector of economy, occupational status	1.00	0.50	Strongly related to the first indicator 'mobility of European citizens'
Sickness benefits			
Total health expenditure per capita	0.33	1.33	Considered as not relevant by the Ad Hoc Group. However, we will need the data to compare cross-border health expenditure with total health expenditure. Data are available by ESSPROS.
E112 by issuing country and country of care (yearly)	2.00	1.67	Considered as the most important indicator on sickness benefits. This was in the past asked in a questionnaire of the Administrative Commission.
Self-reported unmet need for care	0.50	1.20	
People who are aware of their x-border health care reimbursement rights	1.17	1.25	'Awareness' is not the focus of the regulation.
People who received any medical treatment in another EU Member State	1.33	1.60	
Percentage of EHIC and PRC by country, over total population (yearly)	1.67	1.67	Considered as an important indicator. This is asked in the EHIC Questionnaire.
Percentage of E125 issued, by country or origin and country of destination	1.67	1.50	Considered as an important indicator. This is asked in the EHIC Questionnaire.
Health reimbursements on lump sum basis – in number of man-month concerned (yearly)	1.67	1.00	Considered as an important indicator.
Unemployment benefits			
Cross-border employment of European Citizens	0.83	1.40	
Employment rate of (recent) EU citizens moving abroad	0.33	1.25	
Unemployment rate of (recent) EU citizens moving abroad	1.33	1.40	Detail is interesting: cross-border worker, frontier worker, migrant
Long-term unemployment rate of (recent) EU citizens moving abroad	0.33	1.00	

Number of SED U008 exchanged in EESSI system (yearly)	1.33	1.83	Only feasible when EESSI is operational
Number of SED U009 exchanged in EESSI system (yearly)	1.33	1.83	Only feasible when EESSI is operational
Old-age benefits – survivors' benefits			
Number of people aged 65 and living abroad from population stats	1.71	1.33	
Number of SED P5000 (information concerning insurance periods) exchanged in EESSI system (yearly)	1.43	1.57	Only feasible when EESSI is operational
Number of SED P6000 (Pension decisions) exchanged in EESSI system (yearly)	1.43	1.86	Only feasible when EESSI is operational
Family benefits			
Number of SED F003 exchanged in EESSI system (yearly)	1.50	1.83	Only feasible when EESSI is operational
Benefits in respect of accidents at work			
Number of SED DA002	1.29	1.63	Only feasible when EESSI is operational

* If the indicator is not relevant and/or not feasible= 0 (=NO). If the indicator is maybe relevant and/or maybe feasible = 1 (=MAYBE). If the indicator is relevant and/or feasible = 2 (=YES)

Source Assessment of the Ad Hoc Group

1.3.2 Proposal for 'needs driven indicators'

We applied the Delphi method as an iterative process at two levels. Level one is the Ad Hoc Group and level two are the SED groups. In a first round we asked both groups to define interesting 'needs driven' indicators. After the summarisation of indicators in some key indicators (see Chapter 2 of the interim report), we will ask both groups to give their opinion on these key indicators again. This will be whether or not a confirmation of the relevancy of the proposed key indicators.

1.3.2.1 By the Ad Hoc Group Statistics

a) Methodology

The Ad Hoc Group was asked to propose feasible new 'needs driven' indicators. The proposals could be based on their own experience, ideas, etc, but also, if possible, on ideas received from other administrations within their Member State. Therefore, we proposed to contact their colleagues and other stakeholders to enquire about their desires, needs and experiences regarding this kind of statistics. This national information round could be organised according to their own discretion in an informal bilateral way, or they could bring some colleagues together in a joint seminar. The results of their own reflection and national consultation could be integrated in a specific Excel-document. At the same time it was the ambition to create a continuous flow of information and perhaps debate during July and August. For that reason we asked to disseminate this Excel-document to all members of the Ad Hoc Group Statistics.

b) Results

Only two members of the Ad Hoc Group have defined 'needs driven' indicators (table 1.3). The proposed 'needs driven' indicators focus to a large extent on the performance of EESSI. On the other hand, some interesting indicators were proposed on sickness benefits, family benefits and also on accidents at work and occupational diseases.[3] They focus especially on the amounts of cross-border payments.

3 Concerning the social security branch 'accidents at work and occupational diseases' some interesting tables were sent by one of the Ad Hoc Group members, focusing on the number of persons involved and the amount relating to it. Some interesting detail is observed in these tables (by article: Art. 36 (1) or Art. 36 (2); by type of recipient).

Table 1.3 'Needs driven' indicators

Name of the indicator	Description	Source
	General indicators	
Number of incoming SEDs at each access point	Income SEDs from the central note structured in different sectors of business	EESSI
Number of outgoing SEDs from each access point	Outgoing SEDs that first arrived at the access point from the national institutions structured in different sectors of business	EESSI
Number of misrouted SEDs to each access point	In the first time after starting the system monthly, later maybe yearly	EESSI
Data volume of the incoming and outgoing SEDs inclusive attachments	Yearly and monthly	EESSI
Routing time of SEDs between sender and receiver institution	Average time, shortest time, longest time	EESSI
Relation in time, in view of SEDs of request and SEDs of reply between institutions	Average time, shortest time, longest time	EESSI
	Sickness benefits	
Benefits paid abroad	Benefits paid for persons who have moved to another Member State. Number of recipients, benefits paid	Competent institutions of the Member States
Family benefits		
Benefits paid abroad	Benefits paid for persons who have moved to another Member State. Number of recipients, benefits paid	Competent institutions of the Member States
	Accidents at work and occupational diseases	
Number and amount of different payments e.g. pensions, refunding for costs of medical treatment, …		Competent institutions of the Member States
Status of the reimbursement between the institutions in connection with Art. 35 and 41 Regulation (EC) No 883/2004		Competent institutions of the Member States

* Based on the input of only two members of the Ad Hoc Group

Source Ad Hoc Group

Also, two members made some specific remarks concerning the task to define indicators. One member focused especially on the need of defining the type/dimension of indicators (discussed in point 2.1.2 of the interim report). The other referred to Decision No 208 of 11 March 2008 'concerning the establishment of a common framework for the collection of data on the settlement of pension claims' (see also point 1.3.4.6 in this interim report).

1.3.2.2 By the SED groups

a) Methodology

The input of other experts was asked as well. In this context, the members of the different SED Ad Hoc Groups have been consulted by introducing a web survey (see questionnaire in Appendix 2). These members have two important capabilities; (1) they are familiar with the regulations on the coordination of social security systems (Regulation (EC) No 883/2004 and Regulation (EC) No 987/2009) and (2) they are familiar with some specific Structured Electronic Documents (SED) designed to make the communication of data between institutions easier and more efficient by EESSI. Within the groups developing and assessing those documents, and their use, statistics (of 'production' and of 'performance')[4] are/will also be needed.

4 E.g. the number of SEDs exchanged, the number of documents exchanged timely.

We have explored their ideas on useful indicators and how the data that will be circulated via the SEDs and flows could be exploited in the future for the possible collection of statistical data once EESSI is operational.

The SED groups are:

1. applicable legislation;
2. pensions;
3. sickness;
4. occupational diseases and accidents at work;
5. unemployment benefits;
6. family benefits;
7. horizontal flows;
8. recovery.

b) Results

Only a small part of the members of the SED groups have answered the questionnaire. In total 34 incomplete and 6 complete questionnaires were registered (on 23 October 2012). Not for all SED groups at least one response was received.

Relevant input was received concerning the general application of the regulation and also for family benefits, unemployment benefits, old-age benefits and recovery (table 1.4 and 1.5). The proposed general and specific 'needs driven' indicators mainly focus on the performance (e.g. time between request and response (processing time), requests without reply) and the number of persons/periods involved (e.g. pensions: number of persons with periods in different Member States, unemployment: number of issued insurance records).

Table 1.4 General and specific indicators defined by the SED groups

SED group	Which indicator	Why	Source
		General indicators	
Family benefits	Time period between request and response	Aim of the Regulation is to respond at all queries within reasonable time	All SEDs and flows
Family benefits	How many requests will be without reply	Each request should be replied in the interest of the claimant	All SEDs and flows
Unemployment	Number of cases	It is interesting to know whether the Regulation supports free movement of workers	E.g. number of SEDs U002 and U017 together with PD U1
Pensions	Number of migrant workers	To estimate the impact of the Regulation	
Recovery	Kind of benefits		
Recovery	Amount		
		Specific indicators	
Family benefits	Number of provisional decisions	To see if the obligation of the Regulation is fulfilled	SEDs F001 and F002
Family benefits	The number of recovery SEDs connected to family benefits	Recovery SEDs should be used to Art. 75-78 of Regulation (EC) No 987/2009	All R-SEDs
Family benefits	The number of horizontal SEDs connected to family benefits	Determination of personal elements	H-SEDs
Unemployment	Number of issued insurance records/ for which country / nationality of the migrant worker	It is interesting to know to what extent unemployment benefit is based on foreign insurance periods	SEDs U002 and U017 together with PD U1
Unemployment	Number of issued export documents/to which country/ nationality of the migrant worker	It is interesting to know to what extent unemployment benefit is exported in order to seek work	PD U2 together with SED U008
Pensions	Operational/processing time of pension claims	To identify potential of improvement in the work routine	Date of claim until date of decision
Pensions	Number of exceptions of the lex loci laboris	To identify the impact for the national labour markets	Reason for issuing the A1
Pensions	Number of persons with periods in different Member States	To identify the impact for the pension institutes and consequences for individual pension plans	Number and content of the issued P5000
Recovery	Type of benefits offsetted		

* 6 persons have completed the questionnaire

Source SED groups

Table 1.5 Specific interesting SEDs and flows defined by the SED groups

SED group	Which indicator	SED	Why
Specific SEDs			
Family benefits	The number of the cases which needs clarifications	F004, F005	To see how many SEDs need some extra clarifications
Family benefits	The number of the cases which needs special information	F026, F027	To see how many SEDs need some special information
Specific flows			
Family benefits	How often is flow F002 used?	Flow F002	To see if Member State implement Art. 68a of Regulation (EC) No 883/2004
Family benefits	How often the flow F003 is used	Flow F003	To see if Member State implement Art. 69 of Regulation (EC) No 883/2004

* 6 persons have completed the questionnaire

Source SED groups

1.3.3 A detailed analysis of Regulation (EC) No 883/2004 and Regulation (EC) No 987/2009

1.3.3.1 Prepared by the trESS statistical and legal experts

a) Methodology

The trESS statistical and legal experts went through the articles in basic Regulation (EC) No 883/2009 one by one and selected those which could serve as a basis to identify a relevant indicator.

However, this analysis was also based on contacts with Belgian experts from different national institutions.[5] By their input we could already make some corrections for different social security branches, namely for the general application of Regulation (EC) No 883/2004, but also for unemployment and sickness benefits.

b) Results

The detailed analysis is added in a separate document (Synoptic tables – analysis of basic Regulation (EC) No 883/2004).

We are aware of the fact that too many detailed indicators were defined by this exercise. Not all of them could be selected in the final list of indicators. However, this exercise was very useful during the discussions with the Ad Hoc Group and also with the Unit B/4 within DG EMPL.

1.3.3.2 An assessment of the Ad Hoc Group Statistics

a) Methodology

The members of the Ad Hoc Group were asked to make an assessment of the detailed analysis of basic Regulation (EC) No 883/2004. Because of the detail, only for the specific social security branch one has expertise in, the evaluation of each of the indicators was asked.

5 Persons contacted: Bruno De Pauw (National Social Security Office), Marc Van Damme (National Employment Office), Chris Segaert, De Clerq Linda, Nizeyimana Cyprien and Zwiekhorst Walter (National Institute for Health and Disability Insurance).

b) Results

Five members of the Ad Hoc Group made remarks on the detailed analysis. Table 1.6 summarises those indicators which were considered as relevant by the Ad Hoc Group members who made an assessment of the detailed analysis. However, some branches are missing (e.g. family benefits).

Table 1.6 An assessment of the detailed analysis of Regulation (EC) No 883/2004 and Regulation (EC) No 987/2009 by the Ad Hoc Group: a selection of interesting indicators

Description Article (No Art. of Reg. 883/2004)	Indicators
Applicable legislation	
Posted workers (Art. 12)	• Number of A1 forms • Number of unique posted workers
Activities in two or more member States: employed and self-employed persons (Art. 13)	• Number of persons employed in two or more Member States • Number of persons self-employed in two or more Member States
Sickness benefits	
Insured persons or members of the family residing in a Member State other than the competent Member State (Art. 17)	• Number of S1 documents • Number of persons
Stay in Member State other than the competent Member State: European Health Insurance Card (EHIC) (Art. 19)	• Number of EHIC: coverage, use • Total amount of reimbursement of benefits in kind: E125 forms received/issued, E126 forms received/issued
Travel with the purpose of receiving benefits in kind (planned health care) (Art. 20)	• Number of persons • type of planned medical treatment
Pensioners and members of their families (Art. 24)	• Number of pensioners
Retired frontier workers (Art. 28)	• Number of S3 forms • type: continuation of treatment OR during the last 5 years before retirement at least 2 years worked as frontier worker
Reimbursement (Art. 35)	• Reimbursement on the basis of actual expenditure • Reimbursement on the basis of fixed amounts
Accidents at work – occupational diseases	
Accident at work – occupational disease (Art. 36)	• Number of DA1 forms • Number of persons who have sustained an accident at work • Number of persons who have contracted an occupational disease
Aggravation of an occupational disease (Art. 39)	• Number of persons: not pursued an activity in another Member State – pursued an activity in another Member State • Supplement paid by the other Member State
Reimbursements between institutions: actual expenditure – fixed amounts (Art. 41)	• Reimbursements
Old-age benefits	
Postponement of the award (Art. 50)	• Postponement of the award
Award of benefits (Art. 52)	• Number of P1 forms • Number of persons receiving a pension from different Member States • Average amount of pension
Periods of insurance or residence less than one year (Art. 57)	• Less than one year insurance/residence period
Award of a supplement (Art. 58)	• Number of pensioners receiving a supplement • Average amount of supplement
Export of benefits	• Number of pensioners residing in another Member State than the competent Member State
Family benefits	
Members of the family residing in another Member State (Art. 67)	• Number of involved households • Number of involved children
Supplement (Art. 68 2))	• Number of recipients, children or households who have received a supplement?
Horizontal – Fraud&Error	
Administrative questions and questions of interpretation (Art. 72)	• Number of administrative questions • Number of questions of interpretation
Exchange of data between institutions (Art. 78)	• Problems concerning the exchange of data between institutions

Source Input from Ad Hoc Group

1.3.4 Analyses of other documents

1.3.4.1 Recommendation No 16 of 12 December 1984

The need for data was already expressed in Art. 103 of the repealed Regulation (ECC) No 574/72 implementing Regulation (ECC) No 1408/71. In Recommendation No 16 of 12 December 1984[6] an overview was given of data that should be collected by the national competent institutions of the different Member States, this per social security branch.

Most of these indicators are still very relevant, especially those with regard to family benefits, pensions and benefits in kind.

Also concerning the method of data collection this recommendation is useful taking into account the ambition to define relevant but at the same time feasible and reliable indicators. It was put forward that 'data are only of real interest if they present a certain degree of homogeneity and if they are supplied shortly after the end of the period to which they relate'. However, this recommendation is not clear how 'numbers' have to be counted. It states the following 'this number may be either the average over the period covered, the total number over that period, or the number on a particular date'. It will be crucial to determine/describe this in detail for the proposed key indicators (see Chapter 2 of the interim report).

Table 1.7 Indicators defined in Recommendation No 16

Employment
* Number of employed and self-employed persons (by sex, by type)
* Number of employed and self-employed persons who are nationals of non-member countries
Benefits in kind
* Benefits in kind to be refunded in accordance with art. 93 of Regulation (EEC) No 574/72
* Benefits in kind to be refunded in accordance with art. 94 and 95 of Regulation (EEC) No 574/73
Pensions
* The number of pensioners residing in the territory of each of the other Member States
* The corresponding amounts of pensions thus granted and paid in the course of the period covered
Death grants
* The number of cases and the corresponding amounts of death grants transferred to beneficiaries residing in another Member State
Unemployment benefits
* The number of wholly unemployed persons who were formerly employed or self-employed and who received unemployment benefits in pursuance of article 69 (1) of Regulation (ECC) No 1408/71
* The number of days of unemployment for which unemployment benefits were paid
* The amount paid
Family allowances
* The amount of family allowances granted for members of the family of workers and unemployed persons in the course of the period covered
* The number of members of the family in respect of whom family allowances were paid, broken down by country of residence
* The number of families for which the family allowances mentioned above were paid

Source Recommendation No 16 of 12 December 1984

1.3.4.2 The EHIC Questionnaire

A questionnaire on the use of the European Health Insurance Card (EHIC) is issued on a yearly basis by the Secretariat of the Administrative Commission. The most interesting questions in the EHIC questionnaire (within the scope of this project) are about the number of EHICs issued and their period of validity and the reimbursement of benefits in kind between institutions. The analysis of the use of the EHIC for 2011 was recently published by trESS.[7]

6 Recommendation No 16 of 12 December 1984 concerning the statistical data to be supplied each year for the drawing up of the reports of the Administrative Commission.

7 Koldinská, K. (2012), *EHIC Report 2012*, trESS, Ghent University.

Table 1.8 Interesting questions in the EHIC questionnaire

Number of EHICs issued/in circulation
* How many EHICs did your institutions issue between 1 January and 31 December 20..?
* How many EHICs issued by your institutions were in circulation on 31 December 20..? (This means valid EHICs)
Period of validity of the EHIC
* What is the validity period of the EHIC issued by your institutions?
* Is the validity period of the EHIC identical for all categories of insured persons? If not, for which reason and for which categories of insured persons is the validity period different?
Reimbursement of benefits in kind between institutions
* How many E125 forms were issued following the use of the EHIC in your country between 1 January and 31 December 20..?
* If you started issuing SED S080 can you estimate the number of individual invoices you received following the use of the EHIC by persons insured under your sickness insurance scheme between 1 January and 31 December 20..? If so, how many individual invoices were received?
* What percentage does the use of the EHIC abroad represent in respect of your total health expenditure?
Reimbursement of benefits in kind according to Article 25 B) (5) of Regulation (EC) No 987/2009
* How many requests (E126/ SED S067) according to Article 25 B) (5) of Regulation (EC) No 987/2009 did you send during 20..? Is the number of requests increasing, decreasing or at the same level as for previous years?
* How many requests (E126/ SED S067) according to Article 25 B) (5) of Regulation (EC) No 987/2009 did you receive during 20..? Is the number of requests increasing, decreasing or at the same level as for previous years?
* How are the reimbursement rates applied by your institutions determined when replying to requests (E126/ SED S067) according to Article 25 B) (5) of Regulation (EC) No 987/2009?

Source EHIC Questionnaire 2012

1.3.4.3 The collection of statistical data on A1 certificates

Every two years an Excel-table is sent by DG EMPL to the EU Member States, other EEA countries and Switzerland concerning the collection of statistical data on E101/A1 certificates. The excel table consists of detailed information on the reason of issuing A1 forms (posted worker, active in two or more Member States, others) but also the sector of economic activity (NACE code)[8] is asked. The main results concerning the statistical data on A1 certificates issued in 2010 and 2011 have already been discussed within the European Commission but not yet published.

Table 1.9 Questions on the number of A1 certificates

Number of A1/E101 forms issued by sector of economic activity (NACE)
- Posting according to Article 12
- Active in 2 or more Member States according to Article 13
- Other e.g. Article 16 Agreement

Source European Commission - DG EMPL

1.3.4.4 The questionnaire on planned health care

The questionnaire relating to the E112 form was introduced in 2006 and was repeated on an annual basis in 2007, 2008, 2009 and 2010. However, today the Administrative Commission no longer sends this questionnaire to the different Member States. Nevertheless, some of these questions can be translated into interesting indicators.

Table 1.10 Interesting questions defined in the questionnaire relating to the E112 form (planned health care)

* Number of requests for authorisation for issuing an E112 form received in 20..?
* Number of authorisations for issue of an E112 form: a) issued in 20…? B) refused in 20..?
* Countries in which patients have been authorized to receive care?

Source Administrative Commission

8 In the Excel-table also 'International transport' is mentioned. However, this sectorial exception on international transport is no longer present in Regulation (EC) No 883/2004.

1.3.4.5 Audit Board reports

'In accordance with article 69 of Regulation (EC) No 987/2009, the Member States are obliged to report the Audit Board the amount of claims introduced, settled or contested (creditor position) and the amount of claims received, settled or contested (debtor position)' (see AC 147/11). The Audit Board reports to give a good overview of the total amounts of claims. However, defining a more detailed overview of claims per type of health care treatment should be the goal within the scope of this project. For the moment this detailed information is not available in the Audit Board reports.

1.3.4.6 Decision No 208 of 11 March 2008

Decision No 208 of 11 March 2008 'concerning the establishment of a common framework for the collection of data on the settlement of pension claims' expresses the 'intention to collect key data on the processing and settlement of old-age pension claims in order to improve knowledge concerning the situation in each Member State'. The data and indicators that should be collected (only for pension claims) are listed in the table below. They focus on the performance of the clearing and settlement process. The need on 'performance indicators' was already mentioned by the Ad Hoc Group as well as by the different SED groups. For that reason it could be interesting to broaden these indicators to all security branches.

Table 1.11 Data and indicators listed in Decision No 208 of 11 March 2008

Data
* The mean, shortest and longest time taken during the preceding twelve months for old-age pension claims to be sent by the investigating institution to the competent institution
* The mean, shortest and longest time taken during the preceding twelve months for the issuing of a final decision by the competent institution on a old-age pension where the claimant is living in another Member State
Indicators
* The reaction time of the investigating institution in the Member State of residence (that is the time taken by the investigating institution to inform the competent institution that a claim for a pension has been made to the latter institution)
* The time taken by the competent institution to process the claim (that is the time taken for the competent institution to issue a final decision)
* The total processing time taken by the two Member States involved (that is the length of time the claimant had to wait for the final decision to be issued counting form the date at which the claim first submitted to the investigating institution).

Source Decision No 208 of 11 March 2008

1.3.4.7 More recent publications

Below we describe three interesting reports which were recently published and focus to a large extent on mobility (of migrant workers, cross-border commuters, frontier workers) or are interesting to make assumptions and projections on the volume of cross-border mobile persons covered by all kind of benefits, on the public expenditures for the mobile workers and citizens concerned and as a reference to the total expenditures.

In 2011, Eurostat published a pilot study on 'Indicators of Immigrant Integration'[9] using the LFS and SILC. Most of the time the variables 'country of birth' or/and 'country of citizenship' are used to make the cross tables. However, most of the tables presented are not relevant within the context of the coordination of social security schemes.

The report on 'Mobility in Europe - 2011'[10] gives an overview of the cross-border commuters and frontier workers in the European Union. The figures integrated in this report are most of the time based on the Labour Force Survey. However, the tables and figures do not give an

9 European Commission (2011), *Indicators of Immigrant Integration - A Pilot Study*, Publications Office of the European Union, Luxembourg, 253 p.

10 Fuller, A. & Ward, T. (ed) (2011), *Mobility in Europe 2011*, European Commission – DG EMPL, 104 p.

overview of the flows of cross-border commuters between countries. It is this detail we would like to deduce from the LFS.

Finally, the 2012 Ageing Report[11] is another interesting source in our ambition to find useful data, especially on LTC and health care spending in kind (and sometimes in cash).

1.3.5 A proposal for key indicators by the Ad Hoc Group Statistics

1.3.5.1 Methodology

The results of the different steps trESS experts went through were presented in the first and second meeting of the Ad Hoc Group. Consequently, a lot of information was available for the members. Based on this information, but also based on their own expertise (or within their national institution) we asked them to define the five most important horizontal and branch specific key indicators (only for the social security branch they are familiar with).

1.3.5.2 Results

Five members of the Ad Hoc Group proposed horizontal and branch specific indicators (only for sickness benefits, old-age benefits, invalidity, family benefits and applicable legislation). The proposed indicators confirm the need on indicators dealing with coverage/scope, amounts and performance. The horizontal indicators focus especially on the number of administration and interpretation questions, problems concerning the exchange of data and concerning fraud and error issues. Also, some horizontal indicators bring into the picture the persons covered and the reimbursements involved. The indicators concerning sickness benefits focus mainly on the portable documents (S1, S2, S3), the EHIC and the reimbursement of health care (by E125 and E126 forms). The 'old-age' indicators come back to Decision No 208 of 11 March 2008, but focus also on the number of pensioners receiving a pension from different Member States and pensioners residing in another Member State than the competent Member State (however, this is especially important for sickness benefits in kind). The indicators concerning invalidity make a distinction between the type of legislation (A or B) and the number of persons involved. Among others, the number of recipients residing in another Member State than the competent Member State, the number of children involved and the amount of benefits paid are indicators defined for the social security branch 'family benefits'. Finally, some indicators concerning the applicable legislation are proposed by the Ad Hoc Group members. They deal especially with the number of A1 certificates.

11 European Commission (2012), *The 2012 Ageing Report – Economic and budgetary projections for the 27 EU Member States (2010-2060)*, European Union, 470 p.

Table 1.12 Relevant indicators according to the Ad Hoc Group

Name of the indicator	Reason	Source
	Horizontal indicators	
The total number of administrative questions, by type of question	Relevant to know how many administrative questions, by type of questions, are in a year, and in evolution	Administrative Commission
The number of questions, by type of question (most frequent) regarding the interpretation of the provision of the Regulation (EC) No 883/2004 and Regulation (EC) No 987/2009 for different Member States	To know the way in which Member States understand the content of Regulation (EC) No 883/2004 and Regulation (EC) No 987/2009, and the clarity and coherence of the provision of the Regulation mentioned before	Administrative Commission
The number of the problems, by type of problem (most frequent), concerning the exchange of data between institutions of the Member States	Relevant in which regards the improving of the communication between institutions	Administrative Commission / Different Member States
Types of specific problems faced by different Member States concerning fraud and error issues	Relevant to anticipate and to struggle against situations of fraud and error	Administrative Commission/Different Member States
Persons covered/concerned/affected	As a reference value, for old-age pensioners maybe related to population aged over official retirement age	
Costs and State to State transfers/recovery Overall process quality	Differentiated per social security field	
	Sickness benefits	
The annual number of persons who received the S1 forms, of which the number of persons who received benefit in kind based on the S1 forms, cross table: competent Member State – Member State of residence	To know the number of insured persons who received benefits in kind in other Member States, and to estimate the necessary fund for the next period	Liaison body of the Member States / EESSI
The annual number of persons who receive EHIC, of which the number of persons who received benefit in kind based on the EHIC, cross table: competent Member State – Member State of stay	To know the use of the EHIC for the insured persons of a competent Member State, in other Member States, compared with EHIC issued by the competent Member State	Liaison body of the Member States / EESSI
The annual number of persons who received the S2 forms, of which the number of persons who received planned healthcare treatment, cross-table competent Member State – Member State where the treatment was provided	To know the flow of the insured persons of a competent Member State, who travel with the purpose of receiving healthcare treatment, with the authorization from the competent institution, in other Member States	Liaison body of the Member States / EESSI
The annual number of persons who received the S3 forms, cross tables: competent Member State – Member State where the treatment was provided for the retired frontier workers	To know the number of retired frontier workers who received treatment in former Member States of work	Liaison body of the Member States / EESSI
Number of E125 forms and E126 forms, issued / received annually, and the corresponding total amount, cross table	To know the number of the invoices issued, for the benefits in kind received by the insured persons of a Member State, and the total amount needed to be reimbursed	Liaison body of the Member States / EESSI
	Old-age benefits	
Process quality	See Decision No 208	
Work flow	Treated cases (SEDs) by type of treatment	
Number of pensioners residing in another Member State than the competent Member State		
Number of P1 forms		
Number of persons receiving a pension from different Member States		
Benefits paid into another Member State	Average amount and distribution of amounts	
Number of persons receiving a supplement		
Average amount of the supplement		

Invalidity		
Number of persons subject to only type B legislation		
Number of persons subject to type A and B legislation		
Number of cases conversion of invalidity benefits into old-age benefits		
Family benefits		
Number of recipients or family members residing in another Member State than the competent Member State		
Number of children that benefits have been paid when a family Member is residing in another Member State		
Total amount of benefits paid to persons or family members residing in another Member State		
Number of recipients (households) who have received benefits from more than one country at the same time		
Average amount of supplement paid		
Applicable legislation		
Number of A1 forms		
Bilateral agreements between countries		
Number of provisional determinations		

Source Ad Hoc Group

1.3.6 Input from experts DG EMPL – Unit B/4 Coordination of Social Security Schemes, Free Movement of Workers

Seven meetings were organised within the Unit B/4 on 22 and 24 October 2012. The persons contacted were:

- Jonathan Olsson: Sickness benefits;
- Miroslava Hajkova.: Unemployment benefits and LTC;
- Felix Schatz: Benefits in respect of accidents at work and occupational diseases;
- Radek Casta : Family benefits and Applicable legislation;
- Marzena Matyja: Recovery and Sickness benefits;
- Fleur Veltkamp: Horizontal and Applicable legislation;
- Monica Alfaro Murca: Old-age benefits and Invalidity benefits.

First, we asked the contacted persons to select their most important indicators. In advance, the detailed analysis of Regulation (EC) No 883/2004 was sent to them. Suggestions of interesting indicators were taken into account when defining the first list of key indicators (see Chapter 2 of this interim report). We observed a strong need for more basic information concerning the applicable basic and implementing Regulation. For most of the areas there are no or very limited statistics available.

Also, more information on these different topics was asked (e.g. the most recent figures (2010 and 2011) on the number of A1 certificates, reports concerning fraud and error).[12]

12 A report on 'fraud & error' is in preparation by the Belgian delegation for the Administrative Commission.

2 | A first list of horizontal and branch indicators

The mandate of the Ad Hoc Group describes the following activities (AC 017/12):

- Set out five to ten horizontal key indicators and for each branch of social security three to five specific key indicators;
- Propose the methodology to collect these key indicators (survey data, administrative data, EESSI).

Each key indicator has to include:

- a classification of the objective (e.g. production indicators describing the efficiency/performance of procedures in place at national/EU level, benefit indicators describing the extent to which the objective of the coordination of social security has been achieved, etc);
- a short descriptive definition of the indicator (how is it built, methodological limits if any);
- specified sources (availability of the indicator, frequency of collection if mechanisms are already in place).

Based on the input described in previous chapter, a first list of horizontal and branch specific indicators was defined. In the first meeting of 2013, the Ad Hoc Group was able to give their comments on this first list. Their remarks were taken into consideration when we defined the current list of indicators.

Below, we describe the scope and type of the key indicators taking into account the structure of the basic Regulation (EC) No 883/2004 but also the research on methods to define 'social indicators'. Secondly, some remarks concerning the methodology are formulated. Finally, we propose a first list of horizontal and branch specific key indicators.

2.1 Defining the scope and type of indicators

2.1.1 The scope of indicators

The key indicators have to assess the functioning of the basic Regulation (EC) No 883/2004 and implementing Regulation (EC) No 987/2009. This will be the general scope of the proposed indicators (useful to define horizontal indicators). However, different social security branches are covered within the basic Regulation (see Article 3 of the basic Regulation): sickness benefits; maternity and equivalent paternity benefits; invalidity benefits; old-age benefits; survivors' benefits; benefits in respect of accidents at work and occupational diseases; death grants; unemployment benefits; pre-retirement benefits and family benefits. At the same time, we observe specific groups (e.g. frontier workers, posted workers, etc) and topics (recovery, fraud and error) in Regulation (EC) No 883/2004.

2.1.2 The type of indicators

Research is available on the principles which have to be followed to define 'social indicators'. Atkinson et al (2002)[13] describe a number of these principles:

- 'An indicator should indentify the essence of the problem and have a clear and accepted normative interpretation;
- An indicator should be robust and statistically validated;
- An indicator should be responsive to effective policy interventions but not subject to manipulation;
- An indicator should be measurable in a sufficiently comparable way across Member States, and comparable as far as practicable with the standards applied internationally by the UN and the OECD;
- An indicator should be timely and susceptible to revision;
- The measurement of an indicator should not impose too large a burden on Member States, on enterprises, on the Union's citizens.'

Based on the input of the experts (the Ad Hoc Group, SED groups, the DG EMPL Unit B/4, national experts) the essence of the problems related to the different areas of the basic and implementation Regulation should be identified. The methodology will describe in detail the method how to obtain these indicators (time (e.g. monthly, yearly); method to count (e.g. average over the period covered, the total number over that period, the number on a particular date)) (see point 2.2 and 2.3 of the interim report).

Also, Atkinson et al (2002) define principles applied to the portfolio of indicators:

- 'The portfolio of indicators should be balanced across different dimensions;
- The indicators should be mutually consistent and that the weight of single indicators in the portfolio should be proportionate;
- The portfolio of indicators should be as transparent and accessible as possible to the citizens of the European Union'.

It is certainly the aim to become an overview of all social security branches by means of the selected indicators. However, some areas are more extensively described in the basic Regulation which can/will have consequences on the number of indicators defined for this area.

Finally, Atkinson et al (2002) define three levels of indicators:

- Level 1: a restricted list of lead indicators for the main fields that should be covered;
- Level 2: indicators which support these lead indicators, with greater detail, without any limit on the number of indicators;
- Level 3: indicators Member States themselves decide to include.

This methodology will also be applied in our list of key indicators. 'Level 1 indicators' are indicators which offer a first global overview of the functioning of the basic and implementing Regulation. 'Level 2 indicators' will support these indicators by going into greater detail. It

13 Atkinson, T., Cantillon, B., Marlier, E. & Nolan, B. (2002), *Social Indicators. The EU and Social Inclusion*, Oxford University Press, Oxford, 240 p.

should be the ambition to become in the first place a reliable view on the 'Level 1 indicators'. They will have priority.

2.2 Methodology: some remarks

Some of the proposed indicators shall be calculated by surveys organised on the EU level (LFS, SILC). In the long run, even questions could be suggested by the Ad Hoc Group to adopt in these questionnaires (these questions will be proposed in the final report). This in order to improve the data collection and enhance it to serve some of the needs defined in the area of coordination of social security schemes. DG EMPL will contact Eurostat to see how this work could be integrated in mainstream statistics collected in this framework.

In terms of sources, the members of the Ad Hoc Group put forward the idea that combined sources (i.e. administrative and survey) could be used for an indicator. Also for certain indicators a step-by-step approach could be implemented by establishing a roadmap and step stones for sources (i.e. start with survey data for the first few years and then administrative collection (either manually or automated by using EESSI, once up and running).

Indicators related to the performance of EESSI are not of top priority in the work of the group, and how and when these should be defined is to be further investigated. However, performance indicators will be defined especially dealing with process times between countries. For this, EESSI will be very useful.

2.3 A list of selected key indicators

59 branch specific branch indicators and horizontal indicators have finally been selected. Table 2.1 summarizes those indicators. 36 of them are at the moment either included in current questionnaires (e.g. A1 questionnaire, EHIC questionnaire, LFS), ESSPROS or are asked in the ongoing impact assessment on the revision of Regulation (EC) No. 883/2004, more specific on unemployment and LTC.[14] For all these 36 indicators we already/will know the feasibility and for most of them also the result. For the remaining 23 indicators we propose a further try out of the collection of those indicators, of which for some of them several members of the ad hoc group indicated that they are available or can be made available.

In table 2.2 we list the key indicators on the branch level and some key horizontal indicators. Some performance indicators are proposed in table 2.3. We will discuss these performance indicators later on in the ad hoc group statistics, but they are also further under development in other working groups. It should be noted that those performance indicators are most of the time to be defined for each branch.

14 Data collection is organised in 14 Member States by national experts contacting the concerned administrations: Austria, Belgium, the Netherlands, France, Luxemburg, Germany, Spain, United Kingdom, Sweden, Denmark, Poland, Slovakia, Romania and Estonia.

Table 2.1 Synthesis selection of indicators

	Number of indicators	Tried out via ongoing impact assessment	Available via ESSPROS	Available via questionnaires already in use (EHIC, Audit Board, A1)	Available via LFS
Total number indicators	59				
Horizontal performance				2	
Sickness	21		2	5	**1**
of which LTC	2	2			
Maternity	2				
Accidents at work	6		2		
Invalidity	4		2		
Old Age	5		2		**1**
Unemployment	13	13			
Family benefits	5		2		
General	3		2		
Total indicators	59	15	12	7	**2**
Total number of indicators already available or based on other indicators to be collected	36				
Proposed indicators newly to be collected	23				
Performance indicators further to be developed	9				

Source Own table

Table 2.2 An overview of horizontal and branch key indicators

N°	Level	Indicator	Type/ dimension	Description / unit	Current source (current data collection)	Potential source
				Applicable legislation		
1	Level 1 and level 2 (detail)	Number of certificates concerning the Social Security legislation which applies to the holder: - Posted workers - Active in two or more Member States - Bilateral agreement	Scope/coverage	Yearly number of certificates issued/received concerning the Social Security legislation which applies to the holder (sending country – destination country)	Questionnaire on PD A1 certificates of DG EMPL	Structured Electronic Documents/ add a question in the Labour Force Survey (LFS)
2	Level 2	Number of 'unique' persons who received a certificate concerning the Social Security legislation which applies to the holder	Scope/ coverage	A person can receive more than one certificate during the year. (sending country-destination country)	None	Add a question in the questionnaire of PD A1 certificates OR Structured Electronic Documents
3	Level 2	Number of certificates concerning the Social Security legislation which applies to the holder by sector of economic activity (NACE)	Scope/ coverage	Yearly number of certificates issued/received concening the Social Security legislation which applies to the holder by sector of economic activity (NACE) (sending country – destination country)	Questionnaire on PD A1 certificates of DG EMPL	Structured Electronic Documents
4	Level 2	Duration and hours worked by persons who received a certificate concerning the Social Security legislation which applies to them	Scope/coverage	Period of postings/active in two or more Member States and hours worked during this period	None	Add question in the Labour Force Survey (LFS) (proxy) / PD A1 certificate/ Structured Electronic Documents

N°	Level	Indicator	Type/ dimension	Description / unit	Current source (current data collection)	Potential source
			Sickness benefits			
			1) Residence in another Member State than the competent Member State			
5	Level 1 and level 2 (detail)	Number of forms issued to/received for persons entitled to sickness benefits in kind residing in a Member State other than the competent Member State by status: - Employed or self-employed person (excl. frontier workers) - Frontier workers - Pensioner - Family member	Scope/average	Yearly number of forms issued/received concerning persons entitled to sickness benefits in kind residing in a Member State other than the competent Member State (competent Member State – Member State of residence)	*Current data collection (proxy):* Labour Force Survey (LFS): cross-border workers and pensioners	Detail PD (portable document) S1 form OR Structured Electronic Documents
6	Level 1	Reimbursement/cost related to the provision of sickness benefits in kind for persons residing in a Member State other than the competent Member State – actual costs (debtor/creditor)	Amount	Yearly amount based on actual costs (competent Member State – Member State of residence) (debtor/creditor)	Only general amounts in Audit Board Report	Greater detail in Audit Board Report/ Structured Electronic Documents
7	Level 1	Number of persons receiving sickness benefits in cash residing in another Member State than the competent Member State	Scope/average	Yearly number of persons who have received benefits in cash residing in another Member State than the competent Member State	None	PD S1 form/ Structured Electronic Documents
8	Level 1	Cost related to the provision of sickness benefits in cash for persons residing in another Member State than the competent Member State	Amount	Yearly amount paid to persons who have received benefits in cash residing in another Member State than the competent Member State	None	Structured Electronic Documents
			2)	*Stay outside the competent Member State*		
9	Level 2	Number of European Health Insurance Cards (EHIC) issued	Scope/coverage	Yearly number of EHICs issued	EHIC questionnaire	
10	Level 1	Number of issued/received reimbursement claims following the use of the EHIC	Scope/coverage	Claim the reimbursement on the basis of the actual costs of the health care provided abroad	EHIC questionnaire	
11	Level 1	Number of requests for reimbursement rates issued/received	Scope/coverage	Establish the payments for health care provided during a temporary stay in another Member State, if the health care was paid by the insured person	EHIC questionnaire	
12	Level 1	Reimbursement/cost related to the provision of sickness benefits in kind for persons staying in a Member State other than the competent Member State	Amounts	Yearly amount based on actual costs (Competent Member State – Member State of stay) (debtor/creditor)	Partial EHIC questionnaire	Greater detail in EHIC questionnaire /greater detail in Audit Board Report

N°	Level	Indicator	Type/ dimension	Description / unit	Current source (current data collection)	Potential source
			3) Planned health care			
13	Level 1	Number of requests of scheduled treatment - Accepted: forms issued to persons entitled to scheduled treatment - Refused	Scope/coverage	Yearly number of forms issued (competent country – country of scheduled treatment)	*In the past:* questionnaire relating on E112.	PD S2 form/Structured Electronic Documents
14	Level 1	Reimbursement/cost related to the provision of scheduled treatment – actual costs (debtor/creditor)	Amounts	Yearly amount based on actual costs (competent country – country of scheduled treatment) (debtor/creditor)	Only general amounts in Audit Board Report	Greater detail in Audit Board Report/ Structured Electronic Documents
			4) Frontier workers			
5	Level 1	Number of requests medical treatment for former frontier worker in former country of work: - Accepted: forms issued to former frontier workers - Refused	Scope/coverage	Yearly number of forms issued (country last worked – country of residence)	None	PD S3 form/ Structured Electronic Documents
16	Level 1	Reimbursement/cost related to the provision of sickness benefits in kind for retired frontier workers – actual costs (debtor/creditor)	Amounts	Yearly amount based on actual costs (country last worked – country of residence) (debtor/creditor)	None	Structured Electronic Documents
			5) Long-term care			
17	Level 1	Number of persons receiving LTC … residing in another Member State than the competent Member State - In kind - In cash	Scope/average	Yearly number of persons who are receiving a LTC benefit in kind or in cash (competent country – country of residence)	None	PD S1 form/ Structured Electronic Documents/ national data of competent institutions
18	Level 1	Expenditure related to LTC … of persons residing in another Member State than the competent Member State - In kind - In cash	Amount	Yearly amount paid for benefits in cash or in kind (competent country – country of residence)	None	Greater detail in Audit Board Report/ Structured Electronic Documents/ national data of competent institutions

N°	Level	Indicator	Type/ dimension	Description / unit	Current source (current data collection)	Potential source
			6) General			
19	Level 1 and level 2 (detail)	Reimbursement of sickness benefits in kind by type of medical treatment – actual costs - Medical care amount - Dental care amount - Medicine care amount - Hospitalisation amount - Long-term care amount - Other benefits amount - Total amount of benefits in kind	Amounts	Yearly amount based on actual costs by type of medical treatment (debtor and creditor).	Only general amounts in Audit Board Report	Greater detail in Audit Board Report/ Structured Electronic Documents
20	Level 1	Total expenditure related to sickness benefits	Amounts	Yearly amount	ESSPROS	
21	Level 1	Ratio: cross border expenditure / total expenditure to sickness benefits	Amounts	Compare indicators described above	ESSPROS and Audit Board Report	
			Maternity and equivalent paternity benefits			
22	Level 1	Number of persons receiving a …residing in another Member State than the competent Member State - Maternity benefit - Paternity benefit	Scope/average	Yearly number of persons receiving a maternity/paternity benefit residing in another Member State than the competent Member State	*Current data collection:* none *Proxy:* Labour Force Survey	National data from the competent institutions
23	Level 1	Amount paid to persons receiving a … residing in another Member State than the competent Member State - Maternity benefit - Paternity benefit	Amount	Yearly amount paid to persons residing in another Member State than the competent Member State	None	National data from the competent institutions
			Accidents at work and occupational diseases			
24	Level 1	Number of forms issued to persons entitled to health care cover who move to, reside or stay in a Member State other than the competent Member State	Scope/coverage	Yearly number of forms issued to persons entitled to health care cover who suffered an accident at work or an occupational disease who are moving, residing or staying in another Member State than the competent Member State	None	PD DA1/Structured Electronic Documents
25	Level 1	Reimbursement related to the provision of sickness benefits in kind for persons who suffered an accident at work/occupational disease: residing/stay in a Member State other than the competent Member State	Amounts	Yearly amount paid – based on actual costs (competent Member State – Member State of residence/stay) (debtor – creditor)	None	Structured Electronic Documents

N°	Level	Indicator	Type/ dimension	Description / unit	Current source (current data collection)	Potential source
26	Level 1	Number of persons who suffered an accident at work/occupational disease and residing in another country than the competent Member State	Scope/coverage	Yearly number of persons entitled to a benefit (competent Member State – Member State of residence)	None	National data from the competent institutions
27	Level 1	Benefits paid to persons residing in another country than the competent Member State	Amounts	Yearly amount paid (competent Member State – Member State of residence)	None	National data from the competent institutions
28	Level 1	Total expenditure related to accidents at work and occupational diseases	Amounts	Yearly amount	ESSPROS	
29	Level 1	Ratio: cross border expenditure / total expenditure to accidents at work and occupational diseases	Amounts	Compare indicators described above	ESSPROS	National data from the competent institutions
Invalidity						
30	Level 1	Number of persons who are receiving a disability allowance/invalidity pension residing in another Member State than the competent Member State	Scope/average	Yearly number of persons who are receiving a disability allowance/invalidity pension residing in another Member State than the competent Member State	None	National data from the competent institutions
31	Level 1	Disability allowances paid to persons residing in another Member State than the competent Member State	Amounts	Yearly amount of disability allowances/invalidity pension	None	National data from the competent institutions
32	Level 1	Total expenditure related to invalidity	Amounts	Yearly amount	ESSPROS	
33	Level 1	Ratio: cross border expenditure / total expenditure to invalidity	Amounts	Compare indicators described above	ESSPROS	National data from the competent institutions
Old-age and survivors' benefits						
34	Level 1	The number of old-age and survivors' benefits paid to persons who move to, reside in another Member State	Scope/coverage	The number of pensioners who move to, reside in another Member State	*Proxy:* Labour Force Survey (LFS)	National data from the competent institutions
35	Level 1	The corresponding amounts of old-age and survivors' benefits thus granted and paid	Amounts	Yearly amount	None	National data from the competent institutions
36	Level 1	The number of 'new' pensioners who have worked in two or more countries	Scope/coverage	Yearly number of 'new' pensioners who have worked in two or more countries	None	Potential data collection: PD P1/ Structured Electronic Documents
37	Level 1	Total expenditure related to old-age and survivors' benefits	Amounts	Yearly amount	ESSPROS	
38	Level 1	Ratio: cross border expenditure / total expenditure to old-age pensions (yearly)	Amounts	Compare indicators described above	ESSPROS	National data from the competent institutions

N°	Level	Indicator	Type/ dimension	Description / unit	Current source (current data collection)	Potential source
Unemployment benefits						
39	Level 1 and level 2 (detail)	Number of forms issued/received to unemployed persons who have certified periods from another Member State to be taken into account by category - Frontier workers - Cross-border workers (excl. frontier workers) - Migrant workers	Scope/coverage	Number of forms issued/received to unemployed persons who have certified periods to be taken into account by category (Issuing Member State – Competent Member State)	*Current data collection:* none *Proxy:* Labour Force Survey	PD U1/ Electronic Structured Documents
40	Level 2	Number of 'unique' unemployed persons who have certified periods from another Member State	Scope/average	A person can receive more than one form during the year	*Current data collection:* none *Proxy:* Labour Force Survey	PD U1/ Electronic Structured Documents
41	Level 1 and level 2 (detail)	Amount of unemployment benefits paid to unemployed persons who have certified periods from other Member State(s) by category - Frontier workers - Cross-border workers (excl. frontier workers) - Migrant workers	Amounts	Yearly amount: selection of persons who prove certified periods from other Member State(s), by status (Issuing Member State – Competent Member State)	None	National data from competent national institutions
42	Level 1	Number of requests of unemployed persons who want to seek work abroad while entitled to unemployment benefits from the competent Member State - Accepted: number of forms issued/received - Refused	Scope/coverage	Yearly number of requests by unemployed persons to seek work abroad (competent Member State – Member State where seeking work)	None	PD U2/ Electronic Structured Documents
43	Level 2	Number of 'unique' jobseekers	Scope/coverage	A person can receive more than one form during the year	None	PD U2/ Electronic Structured Documents
44	Level 2	Number of months paid to unemployed persons entitled to seek work abroad	Scope/coverage	Number of months paid by the competent institutions (limited to 3 months)	None	National data from competent institutions
45	Level 2	Number of requests of prolongation to seek work abroad - Accepted - Refused	Scope/coverage	Number of prolongations (competent Member State – Member State where seeking work)	None	National data from competent institutions/ Structured Electronic Documents
46	Level 2	Number of months of prolongation of export	Scope/coverage	Number of months of prolongation (limited to 3 months)	None	National data from competent institutions
47	Level 2	Success ratio: number of unemployed persons who have found work abroad / number of unemployed persons who seek work abroad	Scope/coverage	Success ratio (competent Member State – Member State where seeking work)	None	National data from competent institutions/ PD U2

N°	Level	Indicator	Type/ dimension	Description / unit	Current source (current data collection)	Potential source
48	Level 2	Forms issued/received describing circumstances likely to affect the entitlement to unemployment benefits	Scope/coverage	Yearly number of warnings from the employment service of the Member State where one is seeking work to the competent Member State	None	PD U3/ Structured Electronic Documents
49	Level 1 and level 2 (detail)	Reimbursement by competent Member State to institution of place of residence (debtor - creditor) for unemployment benefits provided: - 3 months - 5 months	Amounts	Yearly claims / amounts sent and received between the Member States of last activity and the Member State of residence (debtor – creditor)	None	National data from competent institutions
50	Level 1	Total expenditure related to unemployment benefits	Amounts	Yearly amount	ESSPROS	
51	Level 1	Ratio: cross border expenditure / total expenditure to unemployment benefits	Amounts	Compare indicators described above	ESSPROS	national data from the competent institutions
				Family benefits		
52	Level 1	The number of recipients residing in another Member State than the competent Member State	Scope/coverage	Yearly number of recipients (competent Member State – Member State of residence)	None	National data from competent institutions/ Structured Electronic Documents
53	Level 1	The number of involved children residing in another Member State than the competent Member State	Scope/coverage	Yearly number of involved children (competent Member State – Member State of residence)	None	National data from competent institutions/ Structured Electronic Documents
54	Level 1	Amount paid to recipients residing in another Member State than the competent Member State	Amounts	Yearly amount (competent Member State – Member State of residence)	None	National data from competent institutions/ Structured Electronic Documents
55	Level 1	Total expenditure related to family benefits	Amounts	Yearly amount	ESSPROS	
56	Level 1	Ratio: cross border expenditure / total expenditure to family benefits	Amounts	Compare indicators described above	ESSPROS	National data from the competent institutions
			General			
57	Level 1	Total expenditure related to social security coordination	Amount	Yearly amount	None	National data from Member States
58	Level 1	Total expenditure on social security	Amount	Yearly amount	ESSPROS	
59	Level 1	Ratio expenditure related to social security coordination / total expenditure on social security	Amount	Compare indicators described above	ESSPROS	National data from Member States

Source Own table

Table 2.3 List of performance indicators in discussion

N°	Level	Indicator	Type/ dimension	Description / unit	Current/potential source
	Horizontal indicators				
1	Level 1	Average, longest (10%) an shortest (10%) processing time: delays	Performance	Time between request and response	
2	Level 1	Quality control	Performance	Verification of criteria	
3	Level 1	Number of requests without reply	Performance	Requests without reply (by social security branch, by document/SED)	
4	Level 1	Number of administrative questions by social security branch	Performance		
5	Level 1	Type of administrative questions by social security branch	Performance		
6	Level 1	Number of questions of interpretation by social security branch	Performance		
7	Level 1	Type of questions of interpretation by social security branch	Performance		
8	Level 1	Number of problems concerning the exchange of data between institutions	Performance		
9	Level 1	Overview of problems related to fraud and error	Performance	Based on voluntary reporting from Member States	

Source Own table

3 | What is next? Testing the feasibility and reliability of the proposed indicators

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3.1 An overview of the next steps

By priority DG EMPL proposes to prepare the collection for two indicators, namely S2 (planned health care) and U2 (unemployed persons who seek work in another Member State) in all member states in 2013.

March - April 2013:

- The Administrative Commission is asked to give feedback on the proposed indicators (by Mid April 2013).
- The statistical and legal experts of the trESS team will bring together in one data set the information that already has been available (April 2013).
- The trESS experts will contact the SED Ad Hoc Groups to assess the implications for the structured electronic documents (SEDs) of the proposed indicators (input by mid April 2013).

May – June 2013:

- For the remaining set of indicators (some 23) the trESS team will prepare the relevant format template in an Excel sheet to further try out the data collection (May –June 2013).
- The Administrative Commission is asked to confirm the mandate to the national experts in the Ad Hoc Group to try out in their country the additional set of indicators, in their own administration and act as go-between to the other administrations. Other Member States currently not present in the Ad Hoc Group are invited to join this national try out.

June – September 2013:

- The members in the Ad Hoc Groups will be asked to try out the other 23 branch indicators in their respective Member States. The proposed indicators can be checked in order to evaluate their feasibility. This should lead to a clear definition and methodological guidelines for constructing, measuring and understanding of the indicators (June until September 2013).

October 2013: *Closing meeting*

- Discussion on the outcomes of the investigation on feasibility of indicators carried out during June – September 2013;

- Agreement on the final list of indicators. This list should include:
  - a classification of the objective of the indicator (e.g. production indicators describing the efficiency/performance of procedures in place at national/EU level, benefit indicators describing the extent to which the objectives of the coordination of social security has been achieved, etc);
  - a short descriptive definition of the indicator (how is it built and methodological limits if any);
  - a methodology for collecting the data for that indicator (how and where the data should be collected, whether the data for that indicator is already available and frequency of collection if mechanisms are already in place);
  - a proposal relating to a form and frequency of presenting the data for the indicators to the Administrative Commission.

October 2013: Delivery of the final report on the activities and outcomes of the work of the Ad Hoc Group

November 2013: Discussion in the Administrative Commission

- APPENDICES -

appendix 1 A list of the members of the Ad Hoc Group Statistics

Table app1.1

Surname	First name	Member State	Organisation
Berki	Gabriella	Hungary	University of Szeged
Coucheir	Michael	Belgium	trESS – UGent
De Wispelaere	Frederic	Belgium	HIVA – KU Leuven
Di Lorenzo	Antonello	Luxembourg	Inspection générale de la sécurité sociale
Georgescu	Ana-Maria	Romania	CNAS
Hajdu	József	Hungary	University of Szeged
Hausner	Bruno	Austria	BMASK
Holzer	Christine	Austria	BMASK
Keck	Wolfgang	Germany	Deutsche Rentenversicherung Bund
Keskinen	Siru	Finland	KELA
Leseurre	Audrey	France	CLEISS
Liniewicz	Barbara	Poland	National Health Fund
Luca	Estela		DG EMPL – Unit B/4
Marino	Marco	Italy	Ministero del Lavaro e delle Politiche Sociali
Maxeiner	Helmut	Germany	Deutsche Gesetzliche Unfallversicherung
Pacolet	Jozef	Belgium	HIVA – KU Leuven
Olsson	Jonathan		DG EMPL – Unit B/4
Pochylska	Aneta	Poland	Social Insurance Institution
Uhrin	Miroslav	Slovakia	Social Insurance Agency
Waluk	Wojciech	Poland	Social Insurance Institution

Source AC 130/12 Rev 2

appendix 2 Websurvey to the SED groups

Introduction

Dear,

The Ad hoc groups Statistics composed of trESS experts and experts from the Member States will investigate the type of statistical data that should be collected in accordance with Art. 91 of the Regulation No. 987/2009. Art. 91 of this Regulation states that statistical data concerning the application of Regulation No. 883/2004 and Regulation No. 987/2009 shall be collected by the competent institutions in the Member States under the supervision of the Administrative Commission. The information, when collected, will give the Member States and the European Commission a better basis for evaluating the functioning of both Regulations and for suggesting possible improvements. The purpose of the Ad hoc group Statistics is to investigate the type of statistical data that should be collected in accordance with Art. 91. They will work together in order to come up with a proposal of indicators concerning the application of the basic Regulation No. 883/2004 and the implementing Regulation No. 987/2009. Proposed indicators can have different objectives (e.g. production indicators describing the efficiency/performance of procedures in place at national/EU level, benefit indicators describing the extent to which the objectives of the coordination of social security has been achieved, ...).
In this context, the Ad hoc group Statistics shall also take into consideration the input of other experts. As member of one of the SED Ad hoc groups, you are familiar with the Regulations on the coordination of social security systems (Regulation No. 883/2004 ad Regulation No. 987/2009) and with some specific Structured Electronic Documents (SED) designed to make communication of data between institutions easier and more efficient. This is why we want to explore your ideas on indicators and how the data that will be circulated via the SEDs could be exploited in the future for the possible collection of statistical data, once EESSI is operational. We will ask you to think about useful indicators, SEDs and flows in the ambition to assess the Coordination Regulation. In the last question you will have the possibility to send attached documents explaining these indicator(s).

Questionnaire

1) Which Member State do you represent in the SEDs Ad hoc group?

   ………………………………………………………………………………………

2) Which organisation do you represent in the SEDs Ad hoc group?

   ………………………………………………………………………………………

3) Within which SEDs Ad hoc group are you involved?
   - Applicable legislation
   - Pensions
   - Sickness
   - Occupational diseases and accidents at work
   - Unemployment benefits
   - Family benefits
   - Horizontal flows
   - Recovery

4) Based on your experience, which are useful indicators to assess the application/the functioning of the Regulation on the coordination of social security systems? Please name or describe this indicator **(Which?)**, mention the purpose (motivation, need) (**Why?)**, and the source (i.e. survey, administrative data, SEDs, Portable Documents) that could be used for collecting the data for this indicator **(Source?).**

4a) Indicators assessing in general the Coordination Regulation?

	Which?	Why?	Source?
Indicator 1			
Indicator 2			
Indicator 3			
Indicator 4			
Indicator 5			

4b) Specific indicators useful for the assessment of the contents your SEDs Ad hoc group is focusing on?

	Which?	Why?	Source?
Indicator 1			
Indicator 2			
Indicator 3			
Indicator 4			
Indicator 5			

5) Are some specific SEDs more interesting in the ambition to assess the application/the functioning of the Coordination? Please mention name and number of the SED and also the reason.

	SED name?	SED number?	Why?

SED 1			
SED 2			
SED 3			
SED 4			
SED 5			

6) Are some specific 'flows' of SEDs more interesting in the ambition to assess the application/the functioning of the Coordination Regulation? Please mention name and number of the flow and also the reason.

	Flow name?	Flow number?	Why?
Flow 1			
Flow 2			
Flow 3			
Flow 4			
Flow 5			

Please upload supplementary documentation which can be useful for us in our ambition to develop indicators.