

Request for OMB Clearance

National 800 Number – Interactive 1099/1042S

ICR Change: Individuals will now be able to request a replacement tax summary statement (SSA-1099/1042S) via SSA's automated telephone services. This ICR currently includes an Internet option for requesting the SSA-1099/1042S. We are adding a comparable option to request this information over the telephone. We only ask questions currently contained in this ICR to authenticate individuals.

Authentication: The caller's Name, SSN and Date of Birth (DOB) will be authenticated using Knowledge Based Authentication.

The Knowledge Based Authentication data elements for this application are Name, SSN and DOB with the following tolerances:

- Only the first 3 characters of the user's first name will be matched against Social Security records.
- Only the first 5 characters of the user's last name will be matched against Social Security records.
- The Month of the Date of Birth will include an exact match.
- The Day of the Date of Birth will include a tolerance of +/- 1 day.
- The Year of the Date of Birth will include a tolerance of +/- 1 year.
- The SSN must be an exact match with Social Security records.
- Other Names used is not mandatory.
- The Year of the Date of Birth will include a tolerance of +/- 1 year.
- The SSN must be an exact match with Social Security records.
- Other Names used is not mandatory.

If the beneficiary has blocked all automated telephone and Internet access to his or her personal information using the existing Password Services application, the beneficiary will be unable to access this telephone application. Only an SSA Field Office representative will be able to remove the block.

Estimated Users: We estimate that 851,420 callers/per year will use the automated SSA-1099/1042S application.

Mock-Up Call Flow:

After the caller hears the initial telephone prompt "please tell me briefly the reason for your call," if callers say "I want a replacement social security benefit statement," (or similar response) the automated system will send the caller to the Replacement 1099/1042 application.

1. The automated telephone system will ask the caller if he/she has had a change of address that has not been reported to SSA.

- If the caller says “YES,” the automated system will
 - advise the caller that he/she will not be able to proceed within the automation application, and
 - transfer caller to a live 800 Number agent.
 - If the caller says “NO,” go to step 2.
2. The automated system will ask the caller if he/she is calling for herself/himself or on behalf of a deceased individual.
- If caller says that he/she is calling on his/her own behalf, the automated system will ask the caller to enter and/or speak his/her:
 - SSN,
 - First Name
 - Last Name,
 - Other last name (optional), and
 - Date of birth.

Results:

- If caller passes authentication, the caller will be advised that SSA will send the SSA-1099/1042S to the caller’s address on SSA’s records.
 - If caller fails authentication, the caller will have the option to speak with an agent or submit his/her request in writing to the FO.
- If caller says he/she is calling on behalf of a deceased beneficiary, the automated systems will ask the caller to enter and/or speak the following:
 - deceased beneficiary’s SSN,
 - caller’s identification listed in step 2 above.

Results:

- If caller passes authentication, the caller will be advised that SSA will send the SSA-1099/1042S to the caller’s (survivor) address on SSA’s records.
- If caller fails authentication, the caller will have the option to speak with an agent or submit his/her request in writing to the FO.