

Supporting Statement for Internet Request for Replacement SSA-1099/1042S
20CFR 401.45
OMB No. 0960-0583

Justification

1. Introduction/Authoring Laws and Regulations

Section 6050F of the *Internal Revenue Code* requires SSA to provide Social Security recipients with a statement of the aggregate amount of Social Security benefits paid, the aggregate amount of Social Security benefits repaid and the aggregate reductions in benefits because of amounts received under a worker's compensation act during the calendar year. The recipient receives this information from forms SSA-1099/1042S, Social Security Benefit Statement, which the Internal Revenue Service (IRS) uses to compute taxation of Social Security benefits. SSA has an electronic request form which will allow the public to request replacement Forms SSA-1099/SSA-1042S through the Internet. SSA collects the information to verify identity and issue a replacement Form SSA-1099/SSA-1042S in cases where the original form is unavailable (i.e., lost, stolen, mutilated, etc.).

Section 205(a) of the *Social Security Act*, as amended, authorizes us to collect the information requested in this application. SSA will use the information the recipient provides to identify him/her so that we may quickly fill their request for a replacement SSA-1099/1042S. Supplying the information is voluntary. However, without the requested information, we will not be able to satisfy a request for a replacement SSA-1099/1042S.

2. Description of Collection

Recipients use forms SSA-1099 and SSA-1042S to determine if their Social Security benefits are taxable and the amount they need to report to the IRS. The information collected used exclusively to replace the SSA-1099/SSA-1042S and to verify the identity of the requester. SSA does not retain the information after collection. Prior to Social Security responding to requests for personal information, we must verify the requester's identity obtaining name, Social Security Number (SSN) and Date of Birth (DOB). Depending on the individual's current status in SSA's records, we may also ask the amount of the last payment, the month of the last monthly payment or mother's maiden name and place of birth, and compare it to the formation contained in our records. SSA uses most of the information collected exclusively to verify the identity of the requester. The field for other last names is optional and we use it to match the person in cases where there has been a name change (e.g., marriage) and the person did not notify Social Security. We also ask for the deceased's Social Security Number, if the *Benefit Statement* is for someone other than the requester, and the reason the original document is unavailable. We use the gender information, when provided, for management information purposes.

Social Security collects this information from individuals or households occasionally. The respondents are beneficiaries under Title of the Social Security Act, who wish to request a replacement SSA-1099/SSA-1042S via the Internet. The collection is voluntary. Respondents are not required to complete the collection to obtain or keep their benefits.

3. Use of Information Technology to Collect the Information

The information collection is an Internet –based application. The requester keys in identifying information and transmits it over the Internet to Social Security. We compare the identifying information to existing electronic records in real time. If the information keyed matches with our records, the system allows the requester to proceed to additional screens to make his specific request for Form SSA-1099 or SSA-1042S. This collection does not cover the paper version of this form; it only covers the Internet version. Therefore, 100 percent of the responses are via the Internet. Recipients can also request a replacement SSA-1099 or SSA-1042S by contacting our national 800 number or visiting a local Social Security office. Field office employees and 800 Number Agents can process a replacement *Benefit Statement* using the Master File Query menu.

4. Why We Cannot Use Duplicate Information

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

5. Minimizing Burden on Small Respondents

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

6. Consequence of Not Collecting Information or Collecting it Less Frequently

The replacement SSA-1099/1042S is a cyclical workload that starts January 31 of every year. This collection of information takes place when a recipient requests a replacement SSA-1099 or SSA-1042S via the Internet. Social Security must adequately verify and provide these forms to recipients. If we do not collect the data, respondents would not have a structured format to request a Benefit Statement via the Internet. Additionally, failure to replace Forms SSA-1099/SSA-1042S timely would result in late tax filing for affected recipients. Since SSA collects this information on an as needed basis, we cannot collect it less frequently. There are no technical or legal obstacles to burden reduction.

7. Special Circumstances

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

8. Solicitation of Public Comment and Other Consultations with the Public

SSA published the 60-day advance Federal Register Notice published on August 07,

2009, at 74 FR 39728, and we received no public comments. The second Notice published on October 26, 2009, at 74 FR 55080. We did not consult with the public in the revision/maintenance of this form.

Note: SSA published this information collection as an extension on July 10, 2009, at 74 FR 33313. Since we are revising the Privacy Act Statement, this is now a revision of an OMB-approved information collection.

9. Payment or Gifts to Respondents

SSA does not provide payments or gifts to the respondents.

10. Assurances of Confidentiality

SSA assures confidentiality of the requester in several ways.

We encrypt all electronic requests, using the Secure Socket Layer (SSL) security protocol. SSL encryption prevents a third party from reading the transmitted data even if intercepted. This protocol is an industry standard. Respondents do not have to give us personal information to visit our site. We collect personally identifiable information (PII) and other unique identifiers only if specifically and knowingly provided by the requesters. We will use the PII provided only in connection with Social Security Online or for such other purposes as described at the point of collection. Occasionally, Social Security performs statistical analyses of user behavior in order to measure customer interest in the various areas of our site. We will disclose this information to third parties only in aggregate form (i.e., how many visitors to the site, files accessed.) Additionally, we do not give, sell or transfer any personal information to a third party. We do not enable "cookies." (A "cookie" is a file placed on your hard drive by a Web site that allows it to monitor your use of the site, usually without your knowledge.)

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

11. Justification for Sensitive Questions

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

12. Estimates of Public Reporting Burden

Approximately 136,455 respondents take 10 minutes each to request a replacement SSA-1099/1042S through the Internet each year. Accordingly, the burden is 22,743 hours. This figure represents burden hours, and we did not calculate a separate cost burden.

13. Annual Cost to the Respondents (Other)

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

14. Annual Cost To Federal Government

The estimated cost to the Federal Government to collect the information is negligible. Because the cost of maintaining the system which collects this information is accounted for within the cost of maintaining all of SSA's automated systems, it is not possible to calculate the cost associated with just one Internet application.

- 15. Program Changes or Adjustments to the Information Collection Request**
When we last cleared this information collection in 2006, the burden hours was 21,000. However, we are currently reporting a burden of 22,743 hours. This change stems from a significant increase in the usage of SSA's online services.
- 16. Plans for Publication Information Collection Results**
SSA will not publish the results of the information collection.
- 17. Displaying the OMB Approval Expiration Date**
SSA is not requesting an exception to the requirement to display the OMB approval expiration date.
- 18. Exceptions to Certification Statement**
SSA is not requesting an exception to the certification requirements at 5 CFR 1320.9 and related provisions at 5 CFR 1320.8(b)(3).

B. Collections of Information Employing Statistical Methods

SSA does not use statistical methods for this information collection.

