

**Supporting Statement for Internet and Automated Telephone Request for  
Replacement Forms SSA-1099 and 1042S  
20CFR 401.45  
OMB No. 0960-0583**

**A. Justification**

**1. Introduction/Authoring Laws and Regulations**

*Section 6050F* of the *Internal Revenue Code* requires SSA to provide Social Security beneficiaries 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 beneficiary receives this information from Forms SSA-1099 and 1042S, Social Security Benefit Statement, which the Internal Revenue Service (IRS) uses to compute taxation of Social Security benefits. *Section 205(a)* of the *Social Security Act* (the *Act*), authorizes us to collect the information these applications request.

**2. Description of Collection**

Title II recipients use Forms SSA-1099 and SSA-1042S, Social Security Benefit Statement, to determine if their Social Security benefits are taxable and the amount they need to report to the IRS. In cases where the original forms are unavailable (e.g., lost, stolen, mutilated), an individual may use SSA's Internet request form or automated telephone application to request a replacement SSA-1099 and SSA-1042S. SSA uses the information from the Internet and automated telephone requests to verify the identity of the requestor and to provide replacement copies of the forms. The Internet and automated telephone options reduce requests to the National 800 Number Network (N8NN) and visits to local Social Security field offices (FO). The respondents are applicants for, or claimants of, SSI payments. We are changing the title of the information collection to include the automated telephone request.

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

The information collections are Internet-based and automated telephone applications respectively. For the Internet 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 requesters to proceed to additional screens to make their specific request for Forms SSA-1099 and SSA-1042S. For the automated telephone application, requestors answer identifying questions using voice recognition or touch-tone. Recipients can also request a replacement SSA-1099 and SSA-1042S by contacting our N8NN, or by visiting a local Social Security office. FO employees

and N8NN Agents can process a replacement *Benefit Statement* using the Master File Query menu in SSA's Mainframe. When respondents call the N8NN to request a replacement a Form SSA-1099 and SSA-1042, a Program Service Center (PSC) employee may answer their call. There is no paper form for an individual to request a replacement Form SSA-1099/1042S.

In accordance with the agency's Government Paperwork Elimination Act plan, SSA created an Internet and automated telephone version of the Internet and Automated Telephone Request for Replacement Forms SSA-1099 and SSA-1042S. Based on our data, we estimate approximately 100% of respondents under this OMB number use the electronic version.

**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**

If we did not use the Internet and Automated Telephone Request for Replacement Forms SSA-1099 and SSA-1042S, respondents would not have a structured format to request a Benefit Statement via the Internet or automated telephone application, which could result in late tax filing for affected beneficiaries. Because we collect 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**

The 60-day advance Federal Register Notice published on November 09, 2012, at 77 FR 67435, and we received no public comments. The 30-day FRN published on X at X. If we receive any comments in response to this Notice, we will forward them to OMB.

**9. Payment or Gifts to Respondents**

SSA does not provide payments or gifts to the respondents.

**10. Assurances of Confidentiality**

SSA 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**

Modality of completion	Number of respondents	Frequency of response	Average burden per response (minutes)	Estimated total annual burden (hours)
Internet Requestors	145,390	1	10	24,232
Automated Telephone Requests	190,413	1	2	6,347
N8NN	566,667	1	3	28,333
Calls to local field offices	783,333	1	3	39,167
Other (program service centers)	90,000	1	3	4,500
<b>Totals:</b>	<b>1,775,803</b>			<b>102,579</b>

The total burden for this ICR is 102,579 hours. This figure represents burden hours, and we did not calculate a separate cost burden.

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

These collections do not impose a known cost burden on 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**  
There has been an increase in burden hours. This increase stems from an increase in the number of respondent requesting replacement Forms SSA-1099 and SSA-1042S via the Internet. The increase is also due to the addition of respondents who request Forms SSA-1099 and SSA-1042S via the automated telephone application.
- 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.