

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

A. Justification

1. Introduction/Authoring Laws and Regulations

Section 6050F of the *Internal Revenue Code* requires the Social Security Administration (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 for reasons such as amounts received under a worker's compensation act during the calendar year. Beneficiaries receive this information from the Social Security Benefit Statement, Forms SSA-1099 and SSA-1042S, which the Internal Revenue Service (IRS) uses to compute taxation of Social Security benefits. Section 205(a) of the *Social Security Act* authorizes us to collect the information sought in this application request.

2. Description of Collection

Title II beneficiaries 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 automated telephone application to request a replacement SSA-1099 and SSA-1042S. SSA uses the information from the automated telephone request to verify the identity of the requestor and to provide replacement copies of the forms. SSA accepts information in other ways, however; the automated telephone options reduce request to the National 800 Number Network (N8NN) and visits to local Social Security field offices (FO). The respondents are Title II beneficiaries who wish to request a replacement SSA-1099 or SSA-1042S via telephone.

3. Use of Information Technology to Collect the Information

In accordance with the agency's Government Paperwork Elimination Act plan, SSA created an automated telephone version request for Replacement Forms SSA-1099 and SSA-1042S. Based on current data, we estimate approximately 96 percent use the telephone based applications.

4. Why We Cannot Use Duplicate Information

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

5. Minimizing Burden on Small Respondents

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

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

If we did not use the Automated Telephone Request for Replacement Forms SSA-1099 and SSA-1042S, respondents would not have a structured format to request a Benefit Statement, 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 October 15, 2018, at 83 FR 52042, and we received no public comments. The 30-day FRN published on December 26, 2018 at 83 FR 66330. If we receive any comments in response to this Notice, we will forward them to OMB.

9. **Payment or Gifts to Respondents**

SSA does not provide payments or gifts to the respondents.

10. **Assurances of Confidentiality**

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

11. **Justification for Sensitive Questions**

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

12. **Estimates of Public Reporting Burden**

Modality of completion	Number of respondents	Frequency of response	Average burden per response (minutes)	Estimated total annual burden (hours)
Automated Telephone Requests	238,286	1	2	7,943
N8NN	458,442	1	3	22,922
Calls to local field offices	870,811	1	3	43,541
Other (program service centers)	69,207	1	3	3,460
Totals:	1,636,746			77,866

The total burden for this ICR is **77,866** hours. We based these figures on current management information data. 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 annual cost to the Federal Government is approximately \$4,765.72. This estimate accounts for costs from the following areas: (1) designing, printing, and distributing the form; and (2) SSA employee (e.g., field office, 800 number, DDS staff) information collection and processing time.

15. **Program Changes or Adjustments to the Information Collection Request**

This increase in burden stems from an increase in the number of respondents requesting the replacement Forms SSA-1099 and SSA-1042S via service channels. Although the number of responses changed, SSA did not take any action to cause this change.

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.