

In longitudinal studies, working files are stripped of identifiers and given randomly assigned case numbers. A separate link file will be maintained in secure storage for updating with individual identifiers.

As long as identifiable records exist, a periodic review will be made at least every 2 years to determine the need for their retention.

SYSTEM MANAGER(S) AND ADDRESS:

Social Security Administration, Associate Commissioner, Office of Program Development and Research, 6401 Security Boulevard, Baltimore, MD 21235.

NOTIFICATION PROCEDURE:

This system contains limited data selected for statistical analysis. Individuals inquiring about their records in SSA programs may wish to consult other SSA systems of records which contain more detailed information.

An individual can determine if this system contains a record about him/her by writing to the system manager(s) at the above address and providing his/her name, SSN or other information that may be in the system of records that will identify him/her. An individual requesting notification of records in person should provide the same information, as well as provide an identity document, preferably with a photograph, such as a driver's license or some other means of identification. If an individual does not have any identification documents sufficient to establish his/her identity, the individual must certify in writing that he/she is the person claimed to be and that he/she understands that the knowing and willful request for, or acquisition of, a record pertaining to another individual under false pretenses is a criminal offense.

If notification is requested by telephone, an individual must verify his/her identity by providing identifying information that parallels information in the record to which notification is being requested. If it is determined that the identifying information provided by telephone is insufficient, the individual will be required to submit a request in writing or in person. If an individual is requesting information by telephone on behalf of another individual, the subject individual must be connected with SSA and the requesting individual in the same phone call. SSA will establish the subject individual's identity (his/her name, SSN, address, date of birth and place of birth, along with one other piece of information, such as mother's maiden name) and ask for his/her

consent in providing information to the requesting individual.

If a request for notification is submitted by mail, an individual must include a notarized statement to SSA to verify his/her identity or must certify in the request that he/she is the person claimed to be and that he/she understands that the knowing and willful request for, or acquisition of, a record pertaining to another individual under false pretenses is a criminal offense. These procedures are in accordance with SSA Regulations (20 CFR 401.40(c)).

RECORD ACCESS PROCEDURES:

Same as Notification procedures. Requesters should also reasonably specify the record contents being sought. These procedures are in accordance with SSA Regulations (20 CFR 401.40(c)).

CONTESTING RECORD PROCEDURES:

Same as Notification procedures. Requesters should also reasonably identify the record, specify the information they are contesting and the corrective action sought, and the reasons for the correction, with supporting justification showing how the record is incomplete, untimely, inaccurate or irrelevant. These procedures are in accordance with SSA Regulations (20 CFR 401.65(a)).

RECORD SOURCE CATEGORIES:

Survey data obtained by the contractor; SSA administrative records; medical data compiled by extramural research under contracts or grants.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE PRIVACY ACT:

None.

SYSTEM NUMBER: 60-0218

SYSTEM NAME:

Disability Insurance and Supplemental Security Income Demonstration Projects and Experiments System, Social Security Administration, Deputy Commissioner for Disability Income and Security Programs.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Social Security Administration, Office of Systems, 6401 Security Boulevard, Baltimore, MD 21235.

Social Security Administration, Office of Disability and Income Security Programs, Office of Program Development and Research, 6401 Security Boulevard, Baltimore, MD 21235.

Certain Social Security Administration (SSA) field office (FO) locations (FO addresses and telephone numbers can be found in local telephone directories under "Social Security Administration," (SSA) or by accessing <http://www.ssa.gov/regions/regional.html>).

Contractor sites: Contractor addresses may be obtained by writing to the system manager at the address below.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

A. Persons in sample groups of Social Security Title II disability insurance (DI) applicants, DI beneficiaries and their auxiliary beneficiaries; persons selected from State temporary DI programs; other persons who are representative payees of these persons and temporarily disabled persons receiving State benefits (non-applicants) in comparison groups for the vocational rehabilitation (VR) demonstrations.

B. Persons in sample groups of individuals who apply for, or receive, Social Security Title XVI Supplemental Security Income (SSI) payments on the basis of a disability or blindness in general and particularly those who are medically determined to be drug addicted or alcoholic, mentally retarded or developmentally disabled, and representative payees of those individuals.

CATEGORIES OF IN THE SYSTEM:

The system maintains records which are used for statistical and research analysis only, as well as other records which will be used to conduct program functions involving the demonstrations and experiments. Tax return information, the disclosure of which would violate section 6103 of the Internal Revenue Code (IRC), will be used solely for internal SSA purposes and will not be disclosed to other entities. Participants will be informed at the time of data collection that information obtained by survey or interview exclusively for statistical and research purposes will be protected from disclosure for other purposes to the fullest extent permissible by law.

Records in the system will consist of data relating to the following: Demographic characteristics, education, marital status, military service, dependents, family and household composition; medical history (mental and physical); medical expenses, disability characteristics and health information; living arrangements, health insurance coverage and use; medical and rehabilitation services; employment; occupation and industry classification; income (including tax

return information subject to section 6103 of the IRC); earnings and expenditures; referrals to and participation in the SSI and related Federal/State welfare programs; benefits received; types of cost of services under DI, SSI and related Federal/State welfare programs; reasons for, or circumstances of, closure; attitudes toward work, rehabilitation or treatment programs; impairment-related work expenses; worker's compensation benefits; job search methods; knowledge and understanding of provisions affecting entitlement to benefits; participation in, and services rendered, under the Ticket to Work program; also, for SSI projects only, driver's license and alcohol and drug use (disclosure of this information may be restricted by 21 U.S.C. 1175 and 42 U.S.C. 4582).

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 222, 234 and 1110 of the Social Security Act (42 U.S.C. 422, 434 and 1310); section 505 of Pub. L. 96-265 (the Social Security Disability Amendments of 1980), as amended by section 12101 of Pub. L. 99-272; section 10103 of Pub. L. 101-239; and section 5120 of Pub. L. 101-508.

PURPOSE(S):

The purpose of this system is to provide SSA with data necessary to carry out and evaluate demonstrations and experiments for testing alternative approaches to continuing benefit eligibility during employment and to the rehabilitation of Title II DI beneficiaries and individuals who apply for, or receive, Title XVI SSI payments on the basis of a disability or blindness and, to report to Congress, as required by section 505 of Pub. L. 96-265, as amended by section 12101 of Pub. L. 99-272 and section 10103 of Pub. L. 101-239, section 5120 of Pub. L. 101-508, and sections 301 and 302 of Pub. L. 106-170.

Except for tax return information, and records collected by means of surveys or interviews for use solely for research and statistical purposes, SSA may also provide information from this system to components of the Department of Health and Human Services; e.g., the Centers for Medicare and Medicaid Services (CMS) for the purpose of determining eligibility for health insurance (HI) benefits or supplemental medical insurance (SMI) benefits under the demonstrations and experiments and for the purpose of obtaining data from CMS on HI and SMI utilization during the demonstrations and experiments; to State DDSs for the purpose of making disability determinations; and to State VR agencies for the purpose of screening

DI beneficiaries and SSI recipients for VR potential and designing and implementing a plan of VR services for accepted beneficiaries and recipients.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Disclosure may be made for routine uses as indicated below:

1. With respect to any records, including those collected by means of survey or interview to be used solely for research and statistical purposes, disclosure may be made:

(a) To a congressional office in response to an inquiry from that office made at the request of the subject of a record.

(b) To a contractor under contract to the Social Security Administration, subject to any restrictions imposed by 26 U.S.C. 6103 of the Internal Revenue Code, for the performance of research and statistical activities directly related to this system of records in conducting the demonstrations and experiments and to provide a statistical data base for research studies.

2. With respect only to records that are not collected by means of surveys or interviews for use solely for research and statistical purposes, disclosure may be made subject to any restrictions imposed by 26 U.S.C. 6103 of the Internal Revenue Code:

(a) To a third party organization under contract to SSA for the performance of project management activities directly related to this system of records.

(b) To a State vocational rehabilitation agency in the State in which the disabled individual resides, for the purpose of assisting the agency in providing rehabilitation counseling and service to the individual that are necessary in carrying out the demonstrations and experiments.

3. To the Internal Revenue Service, for the purpose of auditing the Social Security Administration's compliance with the safeguard provisions of the Internal Revenue Code of 1986, as amended.

4. To student volunteers, individuals working under a personal services contract, and other workers who technically do not have the status of Federal employees, when they are performing work for the Social Security Administration (SSA), as authorized by law, and they need access to personally identifiable information in SSA records in order to perform their assigned Agency functions.

5. To the General Services Administration and the National Archives Records Administration (NARA) under 44 U.S.C. 2904 and 2906,

as amended by the NARA Act of 1984, information which is not restricted from disclosure by Federal law for the use of those agencies in conducting records management studies.

6. To the Secretary of Health and Human Services or to any State, the Commissioner shall disclose any record or information requested in writing by the Secretary for the purpose of administering any program administered by the Secretary, if records or information of such type were so disclosed under applicable rules, regulations and procedures in effect before the date of enactment of the Social Security Independence and Program Improvements Act of 1994.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records in this system may be stored in paper form (e.g., hard copy questionnaires and computer printouts) and in magnetic media (e.g., magnetic tape and disc) and on other media (e.g., compact, optical or zip diskette) formats.

RETRIEVABILITY:

Records in this system are indexed and retrieved by the SSN.

SAFEGUARDS:

SSA safeguards are established for automated records in accordance with the SSA Systems Security Handbook. This includes maintaining the records in a secured building, such as the National Computer Center (NCC). Entry into the NCC is restricted to employees whose duties require such entry. Special passes, including the employees' photographs, are issued to all personnel authorized to enter the NCC. The employees are required to wear their passes at all times. Marshals are stationed in the lobby of the center to ensure that only those employees authorized to enter the NCC do so.

Manually maintained records are kept in locked cabinets or in otherwise secure areas. Access to the records is limited to those employees who require the information to perform their assigned duties. SSA employees and employees of contractors having access to the records in this system have been notified of criminal sanctions for unauthorized disclosure of information about individuals. Agreements ensure further confidentiality protections.

Contractor use of records is restricted to performing the duties of the contract, and contractors are required to establish adequate safeguards to protect personal information. Additionally, contractors

and their employees are subject to the same criminal penalties as SSA employees for violations of the Privacy Act. Access http://www.socialsecurity.gov/foia/bluebook/app_g.htm for additional information relating to SSA data security measures.

RETENTION AND DISPOSAL:

Magnetic tapes or other files with personal identifiers are retained in secured storage areas accessible only to authorized personnel.

Micro-data files, prepared for purposes of research, evaluation and analysis, are stripped of personal identifiers (e.g., purged, scrambled, encrypted, etc.) and are subject to procedural safeguards to assure anonymity.

Hardcopy questionnaires will be destroyed when survey reports are completed. Records with identifiers will be held in secure storage areas and will be disposed of when they are no longer needed for SSA analysis.

Means of disposal will be appropriate to the storage medium (e.g., erasure of tapes, shredding of paper records, etc.). Records used in administering the demonstration and experimental programs will be retained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS(ES):

Associate Commissioner, Office of Program Development and Research, Office of Disability Income and Security Programs, Social Security Administration, 6401 Security Boulevard, Baltimore, MD 21235.

NOTIFICATION PROCEDURES:

An individual can determine if this system contains a record about him/her by writing to the system manager(s) at the above address and providing his/her name, SSN or other information that may be in the system of records that will identify him/her. An individual requesting notification of records in person should provide the same information, as well as provide an identity document, preferably with a photograph, such as a driver's license or some other means of identification. If an individual does not have any identification documents sufficient to establish his/her identity, the individual must certify in writing that he/she is the person claimed to be and that he/she understands that the knowing and willful request for, or acquisition of, a record pertaining to another individual under false pretenses is a criminal offense.

If notification is requested by telephone, an individual must verify his/her identity by providing identifying information that parallels information in

the record to which notification is being requested. If it is determined that the identifying information provided by telephone is insufficient, the individual will be required to submit a request in writing or in person. If an individual is requesting information by telephone on behalf of another individual, the subject individual must be connected with SSA and the requesting individual in the same phone call. SSA will establish the subject individual's identity (his/her name, SSN, address, date of birth and place of birth, along with one other piece of information, such as mother's maiden name) and ask for his/her consent in providing information to the requesting individual.

If a request for notification is submitted by mail, an individual must include a notarized statement to SSA to verify his/her identity or must certify in the request that he/she is the person claimed to be and that he/she understands that the knowing and willful request for, or acquisition of, a record pertaining to another individual under false pretenses is a criminal offense. These procedures are in accordance with SSA Regulations (20 CFR 401.40(c)).

RECORD ACCESS PROCEDURES:

Same as Notification procedures. Also, requesters should reasonably identify the record, specify the information they are attempting to obtain. These procedures are in accordance with SSA Regulations (20 CFR 401.40(c)).

CONTESTING RECORD PROCEDURES:

Same as Notification procedures. Also, requesters should reasonably identify the record, specify the information they are contesting and the corrective action sought, and the reasons for the correction, with supporting justification showing how the record is incomplete, untimely, inaccurate or irrelevant. These procedures are in accordance with SSA Regulations (20 CFR 401.65(a)).

RECORD SOURCE CATEGORIES:

Records in this system are derived in part from other SSA systems of records such as the Earnings Record and Self-Employment Income System, 60-0059, the Claims Folders System, 60-0089 (disability case folders), the Master Beneficiary Record, 60-0090, the Supplemental Security Income Record and Special Veterans Benefits, 60-0103, the Completed Determination Record—Continuing Disability Determination, 60-0050, the National Disability Determination Services (NDDS) File, 60-0044, the Ticket-to-Work and Self-

Sufficiency Program Payment Database, 60-0295, and the Ticket-to-Work Program Manager (PM) Management Information System, 60-0300; other SSA administrative records; program records of other Federal/State welfare programs; survey data collected by contractors or SSA personnel; from the individual; the Health Insurance Master Record, 09-70-0502 of the Centers for Medicare & Medicaid Services (CMS); case service reports of VR agencies and referral and monitoring agencies; and employers.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE PRIVACY ACT:

None.

SYSTEM NUMBER: 60-0219

SYSTEM NAME:

Representative Disqualification/Suspension Information System, Social Security Administration, Office of the General Counsel.

SYSTEM CLASSIFICATION:

None.

SYSTEM LOCATION:

Social Security Administration, Office of the General Counsel, Office of General Law, One Skyline Tower, Suite 1605, 5107 Leesburg Pike, Falls Church, VA 22041.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals alleged to have violated the provisions of the Social Security Act and regulations relating to representation of claimants/beneficiaries before the Commissioner, Social Security Administration (SSA), those found to have committed such violations and who are disqualified/suspended, and those who are investigated, but not disqualified/suspended. The last category would include cases in which we find that a violation has not occurred or that a violation has occurred, but we are able to resolve the matter without taking action to disqualify/suspend the representative.

CATEGORIES OF RECORDS IN THE SYSTEM:

Records in the system will consist of information such as the representative's name and address; each claimant's/beneficiary's name, address and Social Security number (SSN); copies of all documentation received as a result of SSA's investigation of alleged violations of the Social Security Act and regulations relating to representation; documentation resulting from an Administrative Law Judge (ALJ) hearing on charges of noncompliance; and