

## **Disqualified/Suspended Representatives and Non-Recognized Persons**

- **Name of project**

Disqualified/Suspended Representatives and Non-Recognized Persons

- **Unique project identifier**

TBD

- **Privacy Impact Assessment (PIA) Contact**

Office of the General Counsel  
Office of General Law  
Social Security Administration  
6401 Security Boulevard  
Baltimore, MD 21235

Office of Hearings Operations  
Office of the Chief Administrative Law Judge  
Suite 1608, One Skyline Tower  
5107 Leesburg Pike  
Falls Church, VA 22041

- **System background description or purpose**

The Representative Disqualification, Suspension, and Non-Recognition Information File is a system of records that covers disqualified and suspended representatives who have represented claimants and beneficiaries before us, and persons who want to serve as representatives, but fail to meet the qualifications for recognition by us to do so. Individuals covered by this system of records include, but are not limited to:

- representatives alleged to have violated the provisions of the Social Security Act or regulations relating to representation of claimants and beneficiaries;
- representatives whom we have found to have committed such violations and are disqualified or suspended; and
- representatives whom we have investigated, but are not disqualified or suspended, because we resolved the matter without an action to disqualify or suspend the representative, or because we found that the violation did not occur.

This system allows us to make decisions about whether persons meet our qualifications to serve as a claimant's representative and whether violations of the provisions of the Security Act or regulations relating to representation have previously occurred.

- **Describe the information we collect, why we collect the information, how we use the information, and with whom we share the information.**

We collect information that is specific to persons seeking to represent our claimants, and disqualified and suspended representatives who have represented claimants and beneficiaries before us. This information includes, but is not limited to, the following:

- name;
- date of birth;
- Social Security number;
- representative identification number;
- home or business address, telephone and fax number;
- email address;
- type of representative (e.g., attorney or non-attorney); and
- other related sensitive information.

We also collect information about the representative's legal standing and business affiliation. These records include, but are not limited to:

- status of the representative (e.g., suspended, disqualified);
- bar, court, and Federal program or agency admission information (e.g., year admitted, license number, present standing, and disciplinary history);
- copies of all documentation resulting from our investigation and administrative prosecution of alleged violations of the Social Security Act and regulations relating to the representative; and
- employer identification number.

We use the information identified above to:

- identify persons and representatives covered by this system of records;
- respond to representational activities;
- investigate alleged administrative or criminal violations;
- administratively prosecute actions against representatives;
- respond to the Appeals Council when a representative has requested reinstatement;
- provide detailed notice of, and information on, cases in which we have disqualified or suspended a representative; and
- assist the Department of Justice in Federal court litigation, including that which relates to our decision to disqualify or suspend a representative or not recognize a person as a claimant's representative.

We also collect and maintain information concerning disqualified and suspended representatives and non-recognized persons in agency repositories, such as SharePoint and the Representative Conduct Claims application.

We generally disclose information only to the subject of record, under a routine use, or as authorized by Federal law.

- **Describe the administrative and technological controls that we have in place to secure the information we collect.**

We completed authentication and security risk analyses on this system of records. The latter includes an evaluation of security and audit controls proven effective in protecting the information collected, stored, processed, and transmitted by our information systems. These include technical, management, and operational controls that permit access to those users who have an official “need to know.” Audit mechanisms are in place to record sensitive transactions as an additional measure to protect information from unauthorized disclosure or modification.

Registered users have to go through initial ID verification and authentication (at each login) in order to access their accounts. We protect information in the system by requiring authorized employees to use a unique Personal Identification Number to access information in the system. We store computerized records in secure areas that are accessible to those employees who require the information to perform their official duties. We implement appropriate configuration settings to ensure agency password requirements are technically enforced. We also perform vulnerability scan reports to ensure settings are functional.

SSA mandates annual privacy and information security awareness training, role-based training for personnel performing roles with significant cybersecurity responsibilities, and the reporting and retaining of completed training. Additionally, all staff who have access to our information systems that maintain personal information must sign a sanctions document annually that acknowledges penalties for unauthorized access to, or disclosure of such information.

- **Describe the impact on an individual’s privacy rights.**

We collect information when we have specific legal authority to do so in order to administer our responsibilities under the Social Security Act. When we collect personal information from individuals, we advise them of our legal authority for requesting the information, the purposes for which we will use and disclose the information, and the consequences of their not providing any or all of the requested information. The individuals can then make an informed decision as to whether or not they want to provide the information.

- **Do we afford individuals an opportunity to consent to only particular uses of the information?**

When we collect information from individuals, we advise them of the purposes for which we will use the information. We further advise them that we will disclose this information without their prior written consent only when we have specific legal authority to do so (e.g., the Privacy Act).

- **Does the collection of this information require a new system of records under the Privacy Act (5 U.S.C. § 552a) or an alteration to an existing system of records?**

No, we have an established system of records, Representative Disqualification, Suspension, and Non-Recognition Information File (60-0219), that governs the information we collect, use, and maintain for business purposes.

**PIA CONDUCTED BY PRIVACY OFFICER, SSA:**



Matthew D. Ramsey  
Executive Director  
Office of Privacy and Disclosure

April 6, 2021

DATE

**PIA REVIEWED BY SENIOR AGENCY PRIVACY OFFICIAL, SSA:**



Royce Min  
General Counsel  
Senior Agency Official for Privacy

4/14/2021

DATE