
RETENTION AND DISPOSAL.
Records are retained and disposed of under the authority of the NIH Records Control Schedule contained in NIH Manual Chapter 1743, Appendix 1— "Keeping and Destroying Records" (HHS Records Management Manual, Appendix B-361), item 2300-293-4, "Medical Staffs' Credential Files," which allows inactive records to be transferred to the Federal Records Center at five year intervals and to be destroyed after thirty years. Refer to the NIH Manual Chapter for specific disposition instructions.

SYSTEM MANAGER AND ADDRESS:
Chief, Medical Record Department, Warren G. Magnuson Clinical Center, National Institutes of Health, Building 10, Room 1N208, 9000 Rockville Pike, Bethesda, Maryland 20892.

NOTIFICATION PROCEDURES:
To determine if a record exists, write to the System Manager at the address above. The requester must provide tangible proof of identity (e.g., driver's license). If no identification papers are available, the requester must verify his or her identity by providing either a notarization of the request or a written certification that the requester is who he or she claims to be and understands that the knowing and willful request for acquisition of a record pertaining to an individual under false pretenses is a criminal offense under the Act, subject to a five thousand dollar fine.

RECORD ACCESS PROCEDURES:
Write to the System Manager specified above to obtain access to records and provide the same information as that required under the Notification Procedures. Requesters should also reasonably specify the record contents being requested. Individuals may also request an accounting of disclosure of their records, if any.

CONTESTING RECORD PROCEDURES:
Contact the System Manager specified above and reasonably identify the record, specify the information to be contested, the corrective action sought, and your reasons for requesting the correction, along with supporting information to show how the record is inaccurate, incomplete, untimely or irrelevant. The right to contest records is limited to information which is incomplete, irrelevant, incorrect, or untimely (obsolete).

RECORD SOURCE CATEGORIES:
Subject individual.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:
None.

BILLING CODE 4140-01-M

Social Security Administration
Privacy Act of 1974; Report of New Systems of Records
AGENCY: Social Security Administration, HHS.
ACTION: Notification of new systems of records and new routine uses.

SUMMARY: In accordance with the Privacy Act of 1974 (5 U.S.C. 552a(e)(4)), we are notifying the public of our intent to establish two new systems of records. The proposed systems are entitled "SSA-Initiated Personal Earnings and Benefit Estimate Statement (SIPEBES) History File, HHS/SSA/OSR, 09-60-0224" and "SSA-Initiated Personal Earnings and Benefit Estimate Statement Address System for Certain Territories, HHS/SSA/OSR, 09-60-0225." For convenience we will refer to these systems as the "History File" and the "Territory Address System," respectively. We are also proposing to establish routine uses of the information to be maintained in the two systems. The proposed routine uses are discussed below. We invite public comment on this publication.

DATES: We filed a report of the proposed systems of records with the Senate Committee on Governmental Affairs, the House Committee on Government Operations, and the Office of Management and Budget, Office of Information and Regulatory Affairs, on October 3, 1994. The proposed systems, including the proposed routine uses, will become effective as proposed, without further notice, on November 12, 1994, unless we receive comments on or before that date which would warrant preventing the systems from taking effect.

ADDRESSES: Interested individuals may comment on this proposal by writing to the SSA Privacy Officer, 3-D-1 Operations Building, 6401 Security Boulevard, Baltimore, Maryland 21235. All comments received will be available for public inspection at the above address.

FOR FURTHER INFORMATION CONTACT:
Mr. Peter J. Benson, Office of Policy, 6401 Security Boulevard, Baltimore, Maryland 21235; telephone 410-965-1736.

SUPPLEMENTARY INFORMATION:
I. Description of the Proposed Systems of Records

Section 1143(c) of the Social Security Act requires SSA to phase in a program, beginning not later than October 1, 1999, for mailing a PEBES annually to everyone:
(a) Who has reached at least age 25,
(b) Who has had some earnings reported to his/her Social Security number (SSN),
(c) Who is not receiving benefits under Title II of the Social Security Act, and
(d) For whom SSA can determine a mailing address.

The phasing in requires SSA to furnish PEBES by not later than September 30, 1995, to everyone who has reached age 60 by October 1, 1994, who is currently not receiving title II benefits, for whom some earnings have been reported, and for whom a current mailing address can be established; and from October 1, 1994, to September 30, 1999, to everyone who attains age 60 during that period and who meets the other criteria for receiving the PEBES. The PEBES will be sent in the fiscal year (October 1 through September 30) in which the individual attains age 60.

The two systems together will enable SSA to mail Personal Earnings and Benefit Estimate Statements (PEBES) to certain individuals, pursuant to section 1143 of the Social Security Act (42 U.S.C. 1320b-13). SSA has previously maintained current address information only for those persons currently entitled to monthly Social Security benefits. Therefore, SSA must obtain address information for everyone to whom SSA will be required to mail a PEBES.

As discussed below, SSA will use different sources for obtaining the address information that will be maintained in the systems.

A. History File. For persons living within a State of the United States or the District of Columbia, SSA will use address information obtained from the Internal Revenue Service (IRS), reflecting addresses taken from Federal income tax returns. SSA will maintain
this address information obtained from IRS in the History File.

After the PEBES have been released in a given mailing cycle, SSA will inevitably receive inquiries from some individuals about their PEBES, or alleging that they did not receive a PEBES. The History File will enable SSA to verify whether a PEBES was released to that person, when, to what address, and what address source was used. The History File will also permit statistical studies involving the PEBES system.

B. Territory Address System. For persons living in Puerto Rico or in a territory of the United States who are not required to file Federal income tax returns, SSA must obtain their addresses from sources other than the IRS. SSA will obtain this information from the Commonwealth and Territorial governments. SSA must maintain these data until needed for a PEBES mailing. We therefore are establishing the Territory Address System of records for that purpose. After an address is identified from the Territory Address System and a PEBES is mailed, the address information will be maintained in the History File.

II. Collection and Maintenance of Data in the Systems

Information for the History File (each individual's address information, other personal information, and information about the PEBES mailing) will be obtained from IRS and from sources within SSA, respectively.

Information for the Territory Address System will be obtained primarily from the Commonwealth and Territorial governments, possibly supplemented from other sources.

III. Proposed Routine Use Disclosures of Data in the Systems

We are proposing to establish the following routine use disclosures of the information that will be maintained in the two systems. The routine use disclosures are identical for both systems except as noted. Information may be disclosed as follows:

1. Information may be disclosed to contractors and other Federal agencies, as necessary, to assist SSA in the efficient administration of its programs. We contemplate disclosing information under this routine use only in situations in which SSA may enter a contractual or similar agreement with a third party to assist in accomplishing an agency function relating to this system of records.

Wage and other information which is subject to the disclosure provisions of the Internal Revenue Code (IRC, 26 U.S.C. 6103) will not be disclosed under this routine use unless disclosure is expressly permitted by the IRC. Contractors will safeguard information disclosed to them consistent with the requirements of the Privacy Act.

We contemplate disclosing information under this routine use only when SSA enters into a contractual or similar agreement with a third party to help SSA maintain the proposed systems or to carry out the PEBES mailing program.

In administering our program, we often find that it is more efficient to use an outside contractor to carry out some of our functions. This proposed routine use would allow us to disclose information from the system under these circumstances.

2. Information may be disclosed to a congressional office in response to an inquiry from the congressional office made at the request of the subject of the record.

Wage and other information which is subject to the disclosure provisions of the Internal Revenue Code (IRC, 26 U.S.C. 6103) will not be disclosed under this routine use unless disclosure is expressly permitted by the IRC.

We contemplate disclosing information under this routine use only in situations in which the individual asks his/her Member of Congress to intervene in an SSA matter pertaining to the individual. Information will be disclosed from the proposed systems only when the Member of Congress inquires and presents evidence that he/she is acting on behalf of the individual whose record is requested.

3. Information may be disclosed to the Department of Justice (DOJ), a court, or other tribunal, or another party before such tribunal, when:
   (1) SSA, or any component thereof; or
   (2) any SSA employee in his/her official capacity; or
   (3) any SSA employee in his/her individual capacity when DOJ (or SSA, when it is authorized to do so) has agreed to represent the employee; or
   (4) the United States or any agency thereof when SSA determines that the litigation is likely to affect the operations of SSA or any of its components. Is a party to litigation or has an interest in such litigation, and SSA determines that the use of such records by DOJ, the court or other tribunal, or another party before the tribunal is relevant and necessary to the litigation, provided, however, that in each case SSA determines that such disclosure is compatible with the purposes for which the records were collected.

Wage and other information which is subject to the disclosure provisions of the Internal Revenue Code (IRC, 26 U.S.C. 6103) will not be disclosed under this routine use unless disclosure is expressly permitted by the IRC.

We contemplate disclosing information under this routine use only in situations in which an SSA component and/or employee is involved in litigation involving information in the proposed system. The routine use would also permit disclosure when SSA brings suit or when another party brings suit and SSA has an interest in the litigation.

4. Information may be disclosed to the Office of the President for responding to an individual pursuant to an inquiry or a request from the individual or from a third party on his or her behalf.

Wage and other information which is subject to the disclosure provisions of the Internal Revenue Code (IRC, 26 U.S.C. 6103) will not be disclosed under this routine use unless disclosure is expressly permitted by the IRC.

We contemplate disclosing information under this routine use in situations in which that individual or someone else on the individual's behalf asks the President to intervene in an SSA matter pertaining to the individual. Information may be disclosed from the proposed systems when the Office of the President inquires and presents evidence that it is acting on behalf of the individual whose record is requested.

5. Nontax return information, the disclosure of which is not expressly restricted by Federal law, may be disclosed to the General Services Administration and the National Archives and Records Administration under 44 U.S.C. 2904 and 2906, as amended by the National Archives and Records Administration Act of 1984, for the use of those agencies in conducting records management studies.

Wage and other information which is subject to the disclosure provisions of the Internal Revenue Code (IRC, 26 U.S.C. 6103) will not be disclosed under this routine use unless disclosure is expressly permitted by the IRC.

The Administrator of the General Services Administration (GSA) and the Archivist of the National Archives and Records Administration (NARA) are charged by 44 U.S.C. 2904 with promulgating safeguards, procedures, and guidelines regarding records management and conducting records management studies. Section 2906 of that law, also amended by the NARA Act of 1984, provides that GSA and NARA are to have access to Federal agencies' records and that agencies are to cooperate with GSA and NARA.
carrying out these responsibilities, it may be necessary for GSA and NARA to have access to these two proposed systems of records. In such instances, the routine use will facilitate disclosure.

6. Information may be disclosed to the Internal Revenue Service (IRS) for auditing SSA's compliance with the safeguard provisions of the Internal Revenue Code of 1986, as amended. This routine use applied only to the History File which maintains some information obtained from the IRS. As necessary, the routine use will allow disclosure to IRS to ensure that SSA is in compliance with safeguard standards.

IV Compatibility of the Proposed Routine Uses

Both the Privacy Act of 1974 (5 U.S.C. 552a(a)(7) and (b)(3)) and our disclosure regulations (20 CFR part 401) permit us to disclose information under a routine use for a purpose which is compatible with the purposes for which we collected the information. Paragraph 401.310(c) of the regulations permits us to disclose information under a routine use to administer our programs. Section 401.205 of the regulations requires us to disclose information when a law specifically requires the disclosure.

The proposed routine uses numbered 1, 2, 3, 4, and 6, described above, will facilitate SSA's administration of its programs. Routine use number 5 will allow GSA or NARA to inspect our records, as required by 44 U.S.C. 2904 and 2906, when those agencies conduct records management studies. Thus, all the routine uses are appropriate and meet the criteria in the Privacy Act and SSA's regulations.

V Safeguards

We will employ a number of security measures to minimize the risk of unauthorized access to or disclosure of personal data in the two proposed systems. These measures include the use of passwords and access controls to enter the computer system which will maintain the data, and storage of the computerized records in secured areas which are accessible only to employees who require the information in performing their official duties. SSA employees who have access to the data will be informed of the criminal penalties of the Privacy Act for unauthorized access to or disclosure of information maintained in the system. In addition, any contract which SSA may sign with a third party in order to carry out the required mailings will stipulate that (a) the contractor must establish safeguards to protect the personal information temporarily in its custody, in accordance with Privacy Act requirements; (b) the contractor may use the information only as necessary in fulfilling the contract; and (c) the contractor is subject to criminal penalties for violations of the Privacy Act.

VI Effect of the Proposed Systems of Records on Individual Rights

As discussed above, the proposed systems of records will enable SSA to mail PEBES. Recipients will benefit from the PEBES because these statements will help them plan their finances and check the accuracy of SSA's records. The routine uses will benefit individuals by helping SSA run its programs smoothly.

SSA will adhere to all provisions of the Privacy Act, Social Security Act, and other applicable laws in our maintenance and use of the information. Thus, we do not anticipate that the system will have any adverse effect on individuals' rights.


Shurley S. Chater,
Commissioner of Social Security.

09-60-0224

SYSTEM NAME:
SSA-Initiated Personal Earnings and Benefit Estimate Statement (SIPEBES) History File, HHS/SSA/OSR.

SECURITY CLASSIFICATION:
None.

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

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:
Any person: Who lives in a state or territory of the United States or the District of Columbia;
Who has reached age 25;
Who has had earnings posted to his/her Social Security number (SSN);
Who is not receiving benefits under the Internal Revenue Code (IRC, 26 U.S.C. 6103) will not be disclosed under this routine use unless disclosure is expressly permitted by the IRC.

2. Information may be disclosed to a congressional office in response to an inquiry from the congressional office made at the request of the subject of the record.

CATEGORIES OF RECORDS IN THE SYSTEM:
This system contains the following information about each individual:
Name;
SSN;
Address to which the PEBES was mailed;
Date of birth;
Sex;
Disposition code (to indicate earnings discrepancy or refusal);
Date of SIPEBES issuance;
Whether the PEBES was issued at the individual's request or SSA's initiative;
Primary language (English or Spanish);
Address source (IRS, the individual, or other);
IRARN-CD (a code reserved for future use);
PROC-CD (a code reserved for future use).

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:
Sections 205(a), 205(c)(2), and 1143 of the Social Security Act (42 U.S.C. 405(a), 405(c)(2), and 1320b-13); the Federal Records Act of 1950 (64 Stat. 583), as amended.

PURPOSES:
This system is used for the following purposes:
• To establish and retrieve specific records for PEBES processing;
• To identify whether or when a person has previously received an SIPEBES;
• To help SSA respond to PEBES inquiries; and
• To conduct statistical studies.

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. Information may be disclosed to contractors and other Federal agencies, as necessary, to assist SSA in the efficient administration of its programs.

We contemplate disclosing information under this routine use only in situations in which SSA may enter a contractual or similar agreement with a third party to assist in accomplishing an agency function relating to this system of records.

Wage and other information which is subject to the disclosure provisions of the Internal Revenue Code (IRC, 26 U.S.C. 6103) will not be disclosed under this routine use unless disclosure is expressly permitted by the IRC.

3. To the Department of Justice (DOJ), a court, or other tribunal, or another party before such tribunal, when:
(1) SSA, or any component thereof, or
RETRIEVABILITY:
- Data will be retrieved from the system by SSN and name.

SAFEGUARDS:
- Safeguards for automated records have been established in accordance with the Department of Health and Human Services (HHS) Information Resources Management Manual, Part 6, Automated Information Systems Security Program Handbook. This includes maintaining the magnetic tapes and discs within an enclosure attended by security guards. Anyone entering or leaving this enclosure must have a special badge issued only to authorized personnel.
- For computerized records electronically transmitted between Central Office and Field Office locations (including organizations administering SSA programs under contractual agreements), safeguards include a lock/unlock password system, exclusive use of leased telephone lines, a terminal-oriented transaction matrix, and an audit trail. All microfilm and paper files are accessible only by authorized personnel who have a need for the information in performing their official duties.
- SSA’s terminals are equipped with physical key locks. The terminals are also fitted with adapters to permit the future installation of data encryption devices and devices to permit the identification of terminal users.
- Contractors will safeguard information disclosed to them consistent with the requirements of the Privacy Act.

RETENTION AND DISPOSAL:
- All tapes, discs, and microfilm files are updated periodically. Out-of-date magnetic tapes and discs are erased. Out-of-date microfilm is shredded.
- SSA retains correspondence one year when it concerns documents returned to an individual, denials of confidential information, release of confidential information to an authorized third party, and undeliverable material; for four years when it concerns information and evidence pertaining to coverage, wage, and self-employment determinations or when it affects future claims development, especially coverage, wage, and self-employment determinations. Correspondence is destroyed, when appropriate, by shredding. Magnetic media records are maintained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS:
- Director, Office of Pre-Claims Requirements, Office of Systems Requirements, Social Security Administration, 6401 Security Boulevard, Baltimore, MD 21235.

NOTIFICATION PROCEDURE:
- An individual can determine if this system contains a record pertaining to him/her by providing his/her name, signature, and SSN, or, if the SSN is not known, name, signature, date and place of birth, mother’s birth name, and father’s name to the address shown above under “System manager” and by referring to this system. Furnishing the SSN is voluntary, but it will enable an easier and faster search for an individual’s record.

An individual requesting notification of records in person need not furnish any special documents of identify. Documents which one would normally carry on one’s person are sufficient (e.g., credit cards, driver’s license, or voter registration card). An individual requesting notification via mail or telephone must furnish a minimum of his/her name, date of birth, and address in order to establish identify, plus any additional information which may be requested. These procedures conform with HHS Regulations, 45 CFR part 5b.

RECORD ACCESS PROCEDURES:
- Same as notification procedures. Also, requesters should reasonably identify the record contents they are seeking. These procedures conform with HHS Regulations, 45 CFR part 5b.

CONTESTING RECORD PROCEDURES:
- Same as notification procedures. Also, requesters should reasonably identify the record, specify the information they are seeking. These procedures conform with HHS Regulations, 45 CFR part 5b.

RECORD SOURCE CATEGORIES:
- Information in this system is obtained from the Numident File of SSA system of records entitled “Master File of Social Security Number Holders, HHS/SSA/OSR (09–60–0058)” and from the IRS.

SYSTEM EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:
- None.

SYSTEM NAME:
- SSA-Initiated Personal Earnings and Benefit Estimate Statement Address System for Certain Territories. HHS/SSA/OSR.

SECURITY CLASSIFICATION:
- None.
SYSTEM LOCATION:

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

Records may also be located at contractor sites. Contact the system manager at the address below for contractor addresses.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Any person:
- Who lives in Guam, Puerto Rico, or the United States Virgin Islands,
- Who has reached age 25,
- Who has had earnings posted to his/her SSN,
- Who is not receiving benefits under Title II of the Social Security Act, and
- From whom SSA can determine the current mailing address.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system contains the following information about each individual:
- Name;
- Sex;
- SSN;
- Address;
- Whether a PEBES was issued at the individual’s request or SSA’s initiative;
- A country name code.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 205(a), 205(c)(2), and 1143 of the Social Security Act (42 U.S.C. 405(a), 405(c)(2), and 1320b–13); the Federal Records Act of 1950 (64 Stat. 583).

PURPOSES:

The system is used for the following purposes:
- To establish and retrieve specific records for PEBES processing for individuals living in the specified areas;
- To help SSA respond to PEBES inquiries and
- To conduct statistical studies.

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

Disclosure may be made from routine uses as indicated below:

1. Information may be disclosed to contractors and other Federal agencies, as necessary, to assist SSA in the efficient administration of its programs. We contemplate disclosing information under this routine use only in situations in which SSA may enter a contractual or similar agreement with a third party to assist in accomplishing an agency function relating to this system of records.

2. Information may be disclosed to a congressional office in response to an inquiry from the congressional office made at the request of the subject of the record.

3. Information may be disclosed to the Department of Justice (DOJ), a court, or other tribunal, or another party before such tribunal, when:
   - SSA, or any component thereof;
   - Any SSA employee in his/her official capacity;
   - Any SSA employee in his/her individual capacity when DOJ (or SSA, when it is authorized to do so) has agreed to represent the employee;

4. The United States or any agency thereof when SSA determines that the litigation is likely to affect the operation of SSA or any of its components.

5. Whether a PEBES was issued at the individual’s request or SSA’s initiative:
   - To conduct statistical studies.
   - To help SSA respond to PEBES inquiries; and
   - To conduct statistical studies.

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

STORAGE:

Records will be stored in magnetic media (e.g., magnetic tape and disc).

RETRIEVABILITY:

Data will be retrieved from the system by SSN, name, and date of issuance of the PEBES.

SAFEGUARDS:

Safeguards for automated records have been established in accordance with the Department of Health and Human Services (HHS) Information Resources Management Manual, Part 6, Automated Information Systems Security Program Handbook. This includes maintaining the magnetic tapes and discs within an enclosure attended by security guards, Anyone entering or leaving this enclosure must have a special badge issued only to authorized personnel. For computerized records electronically transmitted between Central Office and Field Office locations (including organizations administering SSA programs under contractual agreements), safeguards include a lock/ unlock password system, exclusive use of leased telephone lines, a terminal-oriented transaction matrix, and an audit trail. All microfilm and paper files are accessible only by authorized personnel who have a need for the information in performing their official duties.

SAFEGUARDS:

SSA’s terminals are equipped with physical key locks. The terminals are also fitted with adapters to permit the future installation of data encryption devices and devices to permit the identification of terminal users.

RETENTION AND DISPOSAL:

All tapes, discs, and microfilm files are updated periodically. Out-of-date magnetic tapes and discs are erased. Out-of-date microfilm is shredded.

SSA retains correspondence one year when it concerns documents returned to an individual, denial of confidential information, release of confidential information to an authorized third party and undeliverable material; for four years when it concerns information and evidence pertaining to coverage, wage, and self-employment determinations or when it affects future claims development, especially coverage, wage, and self-employment determinations. Correspondence is destroyed, when appropriate, by shredding. Magnetic media records are maintained indefinitely.

SYSTEM MANAGERS(S) AND ADDRESS:

Director, Office of Pre-Claims Requirements, Office of Systems Requirements, Social Security Administration, 6401 Security Boulevard, Baltimore, MD 21235.

NOTIFICATION PROCEDURE:

An individual can determine if this system contains a record pertaining to him/her by providing his/her name, signature, and SSN, or, if the SSN is not known, name, signature, date and place of birth, mother’s birth name, and father’s name to the address shown above under “System manager” and by referring to this system. (Furnishing the SSN is voluntary but it will enable an easier and faster search for an individuals’ record.)

An individual requesting notification of records in person need not furnish any special documents of identity. Documents which one would normally carry on one’s person are sufficient (e.g., credit cards, driver’s license, or voter registration card). An individual requesting notification via mail or
DEPARTMENT OF THE INTERIOR
Bureau of Land Management

[1391-AZ-94-05-1420-00]

Arizona; Notice of Filing of Plats of Survey

October 17, 1994

1. The plats of survey of the following described lands were officially filed in the Arizona State Office, Phoenix, Arizona, on the dates indicated:

   A plat representing the dependent reserve of a portion of the south boundary and a portion of the subdivisional lines; and the subdivision of section 2, Township 10 North, Range 10 East, Gila and Salt River Meridian, Arizona, was accepted August 30, 1994, and was officially filed September 1, 1994.