

SSA. Other categories of records provide data necessary to complete the data base and to provide information to SA's Field Assessment Office Divisions of Payment and Eligibility Quality and Field and Satellite Offices so that they may review cases to obtain information on the general level of accuracy of the entire beneficiary rolls in the programs noted previously.

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

With respect to SSI data, disclosure may be made as indicated below:

1. To the appropriate Federal agency charged with the responsibility for investigating or prosecuting a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, if this system of records indicates that a violation may have occurred.

2. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

3. To a contractor for the purpose of collating, evaluating, analyzing, aggregating or otherwise refining records in this system when HHS, Social Security Administration contracts with a private firm. (The contractor shall be required to maintain Privacy Act safeguards with respect to such records.)

4. In the course of employee discipline or competence determination proceedings.

5. To members of the community and local, State, and Federal agencies in order to locate the individual (when his or her whereabouts are unknown), to establish the validity of evidence or to verify the accuracy of information presented by the applicant/beneficiary, representative payee, legal guardian or other representative of the applicant/beneficiary.

6. To State Welfare Departments pursuant to agreements with the Social Security Administration for the Federal administration of State supplementation payments.

7. To State agencies for administration of the Medicaid Quality Control system.

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

9. Where Federal agencies having the power to subpoena other Federal

agencies' records, issue a subpoena to HHS or the Social Security Administration SSA will make such records available.

With respect to title II data, routine disclosure is made only as indicated in items 1, 2, 3, 4, 5, 8, and 9.

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

STORAGE:

Records are stored in magnetic media (e.g., magnetic tape and disks).

RETRIEVABILITY:

Records are indexed and retrieved by any set of record characteristics; e.g., Social Security number, or name.

SAFEGUARDS:

System security has been established for the records in accordance with the HHS Automated Data Processing Manual, "Part 6, ADP System Security." Tapes are stored in tape vault in the Division of Data Processing Operations, Office of Systems Operations, or in protected storage racks, disks in protected storage racks. The entire area is secured by guarded entrances, with admission limited to authorized personnel. (See Appendix J to this publication for additional information relating to safeguards the Social Security employs to protect personal information.)

RETENTION AND DISPOSAL:

The Quality Review data base is retained indefinitely. Tape records are erased after 30-500 days.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Payment and Eligibility Quality, Office of Assessment, 6401 Security Boulevard, Baltimore, Maryland 21235.

NOTIFICATION PROCEDURE:

An individual can determine if this system contains a record about him or her by writing to the following address: Director, Division of Quality Review Policy and Sample Control, Division of Payment and Eligibility Quality, Office of Assessment, 6401 Security Boulevard, Baltimore, Maryland 21235.

When requesting notification of or access to records, the individual should provide his/her name and Social Security number. (Furnishing the Social Security number is voluntary, but it will make searching for an individual's record easier and avoid delay.) These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

RECORD ACCESSING PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of or access to a medical record shall, at the time he or she makes the request, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of or access to a minor's medical record shall at the time he or she makes the request designate a physician or other health professional (other than a family member) who will be willing to review the record and inform the parent or guardian of its contents at the physician's or health professional's discretion.

These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

CONTESTING RECORD PROCEDURES:

Same as notification procedures. Requesters should also reasonably identify the record, specify the information they are contesting and state the corrective action sought and the reasons for the correction with supporting justification. These procedures are in accordance with HHS 45 CFR Part 5b.

RECORD SOURCE CATEGORIES:

Information in the Social Security Administration Quality Review System is furnished by applicants for and beneficiaries of the Retirement and Survivors Insurance program, the Disability Insurance program, and the Supplemental Security Income program, representative payees of such individuals (where appropriate), Social Security Administration offices, other Federal and State agencies, and private sources.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-60-0042

SYSTEM NAME:

Quality Review Casefile, HHS/SSA/OA.

SYSTEM CLASSIFICATION:

None.

SYSTEM LOCATION:

Social Security Administration, Office of Assessment, Office of Payment and Eligibility Quality, 6401 Security Boulevard, Baltimore, Maryland 21235

Field (10) and Satellite (27) Offices (See Appendices L.1 and L.2 for address information).

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Randomly selected applicants for and/or beneficiaries of:

a. Supplemental Security Income (SSI) payments under title XVI of the Social Security Act. Records of some SSI beneficiaries may have been transferred from State welfare rolls for Aid to the Aged, Blind, and Disabled.

b. Retirement, Survivors, and Disability Insurance benefits under title II of the Social Security Act.

CATEGORIES OF RECORDS IN THE SYSTEM:

The Quality Review Casefile contains information from Social Security Administration records and information obtained by Quality Review Specialists from Retirement and Survivors Insurance, Disability Insurance and SSI applicants and or beneficiaries and from third party sources. These casefiles may contain information relating to any combination of these three programs.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

Sections 205(a), 1631(d)(1) and 1631(e)(1)(B) of the Social Security Act.

PURPOSE(S):

Both title II and title XVI Quality Review Casefiles are used for accumulating data concerning the eligibility or entitlement of applicants/beneficiaries and of benefit amounts paid under the retirement, survivors, and disability insurance programs, and the supplemental security income program. Casefiles also provide data necessary to complete the Quality Review Data Base and to provide information to the Social Security Administration's Field Assessment Office Divisions of Payment and Eligibility Quality Field and Satellite Offices needed to review cases in order to obtain information on the general level of accuracy of the entire beneficiary rolls in the programs noted previously.

Data obtained from title XVI Quality Review Casefiles also are used to calculate the Federal fiscal liability case and gross dollar error rates for State supplementation funds administered by SSA.

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

With respect to SSI data, disclosure may be made as indicated below:

1. To the appropriate Federal agency charged with the responsibility for

investigating or prosecuting a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, if this system of records indicates that a violation may have occurred.

2. To the Internal Revenue Service, Department of the Treasury, as necessary, for the purpose of auditing the Social Security Administration's compliance with safeguard provisions of the Internal Revenue Code of 1954, as amended.

3. To a contractor for the purpose of collating, evaluating, analysing, aggregating or otherwise refining records in this system when HHS, Social Security Administration contracts with a private firm. (The contractor shall be required to maintain Privacy Act safeguards with respect to such records.)

4. In the course of employee discipline or competence determination proceedings.

5. To members of the community and local, State, and Federal agencies in order to locate the individual (when his or her whereabouts are unknown), to establish the validity of evidence or to verify the accuracy of information presented by the applicant/beneficiary, representative payee, legal guardian or other representative of the applicant/beneficiary.

6. To State Welfare Departments pursuant to agreements with the Social Security Administration for the Federal administration of State supplementation payments.

7. State agencies for administration of the Medicaid Quality Control System.

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

9. Where Federal agencies having the power to subpoena other Federal agencies' records, issue a subpoena to HHS or the Social Security Administration, SSA will make such records available.

With respect to title II data, routine disclosure is made only as indicated in items 1, 2, 3, 4, 5, 8, 9, and 10.

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

STORAGE:

Records are maintained in paper form (e.g., paper forms in manila folders).

RETRIEVABILITY:

The Quality Review Casefiles are retrieved by use of the Social Security

number. Retrieval will be speedier is the individual's State of residence, program under which benefits were received and/or applied for, and sample selection month are supplied.

SAFEGUARDS:

With respect to title XVI, Quality Review Casefiles are stored in the Field Assessment Satellite Offices that have jurisdictional responsibility for review of the selected sample cases. With respect to title II, Quality Review Casefiles are stored in the Field Assessment Office Divisions of Payment and Eligibility Quality, Field Offices and, where appropriate, in the Satellite Field Assessment Offices that have jurisdictional responsibility for review of the selected sample cases. All Quality Review Casefiles are stored either in locked cabinets and or locked rooms in space serviced by GSA guards. Access is limited to SSA employees with responsibility for reviewing and maintaining such casefiles and, in the case of SSI Quality Review Casefiles, to State Medicaid Quality Control employees pursuant to item 7 above. (See Appendix J to this publication for additional information relating to safeguards the Social Security Administration applies to protect personal records.)

RETENTION AND DISPOSAL:

a. Titles XVI Quality Review Casefile are retained for 18 months after the close of the 6-month period for which the cases were selected for quality review or until 36 months after fiscal settlement (Federal fiscal liability situation) for the sample period for which the individual case was selected is reached between SSA and the individual States, whichever is later.

b. Title II Quality Review Casefiles are retained for 18 months after the close of the 6 month sample period for which the cases were selected for review.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Payment and Eligibility Quality, Office of Assessment, 6401 Security Boulevard, Baltimore, Maryland 21235.

NOTIFICATION PROCEDURE:

An individual can determine if this system contains a record about him or her by writing to the Field Assessment Officer at the respective Filed Assessment Office (see Appendix L.1 for address information). When requesting notification of or access to records, the individual should provide his/her name, Social Security number, State or residence and type of claim filed (e.g.,

Retirement, Survivor's or Disability Insurance). (Furnishing the Social Security number is voluntary, but it will make searching for an individual's record easier and avoid delay.) These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

RECORD ACCESS PROCEDURES:

Same as notification procedures. Requesters should also reasonably specify the record contents being sought. An individual who requests notification of or access to a medical record shall, at the time he or she makes the request, designate in writing a responsible representative who will be willing to review the record and inform the subject individual of its contents at the representative's discretion.

A parent or guardian who requests notification of or access to minor's medical record shall at the time he or she makes the request designate a physician or other health professional (other than a family member) who will be willing to review the record and inform the parent or guardian of its contents at the physician's or health professional's discretion.

These access procedures are in accordance with HHS Regulations 45 CFR Part 5b.

CONTESTING RECORD PROCEDURES:

Same as notification procedures. Requesters should also reasonably identify the record, specify the information they are contesting and state the corrective action sought and the reasons for the correction with supporting justification. These procedures are in accordance with HHS Regulations 45 CFR Part 5b.

RECORD SOURCE CATEGORIES:

Information in the Quality Review Casefile is furnished by applicant/beneficiaries under the Retirement and Survivors Insurance program, the Disability Insurance program, and the Supplemental Security Income program, representatives of such individuals (where appropriate), Social Security Administration offices, and other Federal, State, and local agencies, and from private sources.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

None.

09-60-0044

SYSTEM NAME:

Disability Determination Service Processing File, HHS/SSA/ODP.

SYSTEM CLASSIFICATION:

None.

SYSTEM LOCATION:

Each Disability Determination Services (DDS's) office (see Appendix B.2 for the name and address for each State DDS).

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Claimants for Disability Insurance and Black Lung benefits, and Supplemental Security Income payments alleging a disability for whom the Disability Determination Service processes claims.

CATEGORIES OF RECORDS IN THE SYSTEM:

Name and Social Security number of wage earner, claimant's name and address, date of birth, diagnosis, beginning and ending dates of disability, basis for determination, work history information, educational level, reexamination date (if applicable), date of application, names and titles of persons making or reviewing the determination and certain administrative data. Also included could be data relative to the location of the file and the status of the claim, copies of medical reports, and data relating to the evaluation and measurement of the effectiveness of claims policies.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301, 30 U.S.C. 923(b), and Sections 221, 1633, and 1634 of the Social Security Act.

PURPOSE(S):

The records are used primarily for the processing of disability and black lung claims for detection and correction of deficiencies and problems involved in this processing, and for case control purposes.

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

Disclosure may be for routine uses as indicated below:

1. To State Vocational Rehabilitation agencies or State crippled children's service agencies (or agencies providing services to disabled children) for the consideration of rehabilitation services per sections 222 and 1615 of the Social Security Act.

2. To State audit agencies utilizing this information for verifying proper expenditure of Federal funds by the State in support of the Disability Determination Service (DDS).

3. To the Veterans Administration of information requested for purposes of determining eligibility for or amount of VA benefits, or verifying other information with respect thereto.

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

5. In response to legal process of interrogatories relating to the enforcement of an individual's child support or alimony obligations, as required by sections 459 and 461 of the Social Security Act.

6. To the Department of Justice in the event of litigation where the defendant is:

(a) The Department of Health and Human Services (HHS), any component of HHS or any employee of HHS in his or her official capacity;

(b) The United States where HHS determines that the claim, if successful, is likely to directly affect the operations of HHS or any of its components; or

(c) Any HHS employee in his or her individual capacity where the Justice Department has agreed to represent such employee;

HHS may disclose such records as it deems desirable or necessary to the Department of Justice to enable that Department to present an effective defense, provided such disclosure is compatible with the purpose for which the records were collected.

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

STORAGE:

Records are maintained in paper form, on magnetic tape or disk packs. The method of storage may vary from State to State.

RETRIEVABILITY:

The records are filed by a combination of name and Social Security number depending on the Disability Determination Services' preference.

SAFEGUARDS:

Automated records are maintained in accordance with HHS Automated Data Processing Manual, "Part 6, ADP System Security." The records are accessible only to Disability Determination Service personnel and subject to the restrictions on disclosures under 5 U.S.C. 552(b)(6), 21 U.S.C. 1175, and 42 U.S.C. 1306. (See Appendix J to this publication for additional information relating to safeguards the Social Security Administration applies to protect personal information.

RETENTION AND DISPOSAL:

May vary from State to State according to the preference, but generally each State destroys its files