

**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:

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

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

Records are stored in paper form (e.g., case or file folders), in magnetic media (e.g., disk cartridges) and on cassette tapes.

**RETRIEVABILITY:**

Records are indexed and retrieved numerically by Social Security number.

**SAFEGUARDS:**

Claims review data input forms (paper) are stored in locked file cabinets. Automated records are maintained in accordance with the HHS ADP System Manual, "Part 6, ADP System Security." This includes maintaining the records in an enclosure attended by security guards and limiting access to the records to authorized personnel who have a need for them in the performance of their official duties. (See Appendix J to this publication for additional information relating to safeguards the Social Security Administration employs to protect personal information.)

**RETENTION AND DISPOSAL:**

Paper records are retained for 6 months and then destroyed by shredding. Disk cartridges and cassette tapes are retained for 12 months and then erased.

**SYSTEM MANAGER(S) AND ADDRESS:**

Director, Division of Assistance and Records Operations Quality, Office of Assessment, P.O. Box 17040, Baltimore, Maryland 21235.

**NOTIFICATION PROCEDURE:**

An individual can determine if this system contains a record about him/her by writing to the system manager at the above address or writing to the Field Assessment Officers listed in Appendix M. When requesting notification, individuals should provide their names and Social Security numbers. (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. Also, the individual should reasonably specify the information he/she is accessing.

**CONTESTING RECORD PROCEDURES:**

Same as notification procedures. Also, the individual should reasonably identify the record, specify the information he/she is contesting and state the corrective action sought and the reasons for the correction with supporting justification.

**RECORD SOURCE CATEGORIES:**

Information in this system is derived from an existing system maintained by SSA, the Claims Folders and Post-Adjudicative Records of Applicants for and Beneficiaries of Social Security Benefits, HHS/SSA/OOPP, 09-60-0089, and from review findings and analyses.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

None.

09-60-0213

**SYSTEM NAME:**

Quality Review of Hearing Process, HHS/SSA/OHA.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Social Security Administration, Office of Hearings and Appeals, 3833 North Fairfax Drive, Arlington, Virginia 22203  
and  
Social Security Administration, Office of Systems Operations, 6401 Security Boulevard, Baltimore, Maryland 21235

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Claimants/applicants for Social Security and Black Lung benefits and Supplemental Security Income payments; and Administrative Law Judges.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Records in this system consist of claimant's name and Social Security number, claim type, hearing type, administrative law judge code, case processing locations and dates, administrative law judge and Appeals Council actions, claimant demographic and diagnostic information, aspects of case handling, identifiers which determine to what sample the case belongs.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Sections 205, 221(c), 702, 1631(d)(1), and 1872 of the Social Security Act, as

amended, and Section 413(b) of the Federal Coal Mine Health and Safety Act, as amended.

**PURPOSE(S):**

This system is used by the Office of Hearings and Appeals to analyze the handling of cases at the hearing level and in the preparation of studies and reports used to improve the hearing process.

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

2. 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.

3. 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.

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

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

**RETRIEVABILITY:**

Records are retrieved by either the Social Security number and by Administrative Law Judge code.

**SAFEGUARDS:**

System security for this system is maintained in accordance with the HHS ADP System Manual, "Part 6, ADP System Security." SSA employees are

able to access data elements only on a "need-to-know" basis. This includes maintaining the magnetic tape and disk records in an enclosure attended by security guards. Anyone entering or leaving the area must have a special badge which is issued only to personnel authorized to enter the area. All employees are instructed in Social Security Administration confidentiality rules as part of their initial orientation training. (See Appendix J to this publication for additional information relating to safeguards the Social Security Administration employs to protect personal information.)

**RETENTION AND DISPOSAL:**

Automated records are retained for a period of 10 years and then erased. The retention period for paper and card records (including source documents) are as specified in the SSA Administrative Directives Guide Retention and Disposal Schedule for records. Generally, the records may be retained from 6 months to 5 years. The records are disposed of by shredding when no longer needed.

**SYSTEM MANAGER(S) AND ADDRESS:**

Associate Commissioner, Office of Hearings and Appeals, 3833 North Fairfax Drive, Arlington, Virginia 22203

**NOTIFICATION PROCEDURE:**

An individual can determine if this system contains a record pertaining to him or her by writing to the following address:

Director, Office of Appraisal, Office of Hearings and Appeals, 4040 North Fairfax Drive, Arlington, Virginia 22203

When requesting notification, the individual should provide name, address 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.)

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

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

**RECORD ACCESS PROCEDURES:**

Same as notification procedures. Also, requesters should reasonably specify the record contents being sought. These 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:**

The main source of data in this system is information in the system of records entitled Claim Folders system (09-60-0089). Another source of data is information furnished by claimants/applicants under the Retirement, Survivors, and Disability Insurance programs, the Supplemental Security Income program, the Black Lung program, representatives of such individuals, (where appropriate), Social Security offices, and other Federal, State, and local agencies. Data also comes from private sources.

**SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:**

None.

**09-60-0214**

**SYSTEM NAME:**

Personal Identification Number File (PINFile) HHS/SSA/OA.

**SECURITY CLASSIFICATION:**

None

**SYSTEM LOCATION:**

Social Security Administration, 6401 Security Boulevard, Baltimore, Maryland 21235.

**CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Social Security Administration (SSA) employees, some Disability Determination Services (DDS) employees, Health Care Financing Administration (HCFA) employees, carriers and intermediaries.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

Timekeeper number, name of employee (first 3 letters of last name), Social Security number, personal identification numbers and passwords for validation purposes, function code,

concentrator service area and access profile information.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

Section 205(a) of the Social Security Act and 5 U.S.C. 552a(e)(10).

**PURPOSE(S):**

The PinFile is used to limit access to computer based SSA information resources to specific individuals and to specific transactions. Its purpose is to minimize the risk of unauthorized access to SSA's files of personal data.

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(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 deem 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 of which the records were collected.

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

**STORAGE:**

SSA maintains records in the PINFile on magnetic disk as part of the data communication system. The disk file is written to tape daily for backup purposes.

**RETRIEVABILITY:**

SSA retrieves records from the PINFile by name, social security number, personal identification number, and timekeeper number.

**SAFEGUARDS:**

Steps to minimize the unauthorized use of the PINFile include: (1) limiting access to data on file to regional and security officers and the SSA component