

SYSTEM NUMBER: 60-0239**SYSTEM NAME:**

Personnel Records in Operating Offices, Social Security Administration, Deputy Commissioner for Human Resources, Office of Personnel.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

These records are located within the servicing personnel offices that service specific Social Security Administration (SSA) organizational components and/or at a site closer to where the employee works; e.g., in an administrative office or in an employee record extension file maintained by the immediate supervisor.

Note: In the case of some personnel records, SSA has determined that duplicates need to be located in a second office closer to where the employee works (e.g., in an administrative office or in an employee record extension file maintained by the immediate supervisor). Any of these personnel records that are derived from OPM/GOVT 1 also are covered by that system notice.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Current employees of SSA and former or current Federal employees submitting applications for employment with SSA.

CATEGORIES OF RECORDS IN THE SYSTEM:

This system consists of a variety of records relating to personnel actions and determinations made about an individual while employed. These records may contain information about an individual relating to name, birth date; emergency contact information; e.g., mailing address and telephone number; Social Security number (SSN); veterans preference; tenure; employment history; employment qualifications; past and present salaries, grades and position titles; training; awards and other recognition; approved suggestions; performance plan and rating of record; performance improvement plan; conduct; and data documenting reasons for personnel actions, decisions or recommendations made about an employee; and background data documentation leading to an adverse action or other personnel action being taken against an employee.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 3101, Chapter 33, Chapter 41, Chapter 43, Chapter 45, Chapter 55 and Chapter 75.

PURPOSE(S):

These records are used by operating officials in carrying out their personnel

management responsibilities. They may be used in recommending or taking personnel actions such as appointments, promotions, separations (e.g., retirements, resignations), reassignments, within-grade increases, adverse actions; as a basis for employee training, recognition, or disciplinary actions; and as a basis for staffing and budgetary planning and control, organizational planning, and manpower utilization purposes.

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 the Office of Personnel Management, the Merit Systems Protection Board (MSPB), or the Office of the Special Counsel when information is requested in connection with appeals, special studies of the civil service and other merit systems, review of those agencies' rules and regulations, investigation of alleged or possible prohibited personnel practices, and for such other function of these agencies as may be authorized by law, e.g., 5 U.S.C. 1205 and 1206.

2. To the Equal Employment Opportunity Commission when requested in connection with investigations into alleged or possible discriminatory practices in the Federal sector, examination of Federal affirmative employment programs, compliance by Federal agencies with the Uniform Guidelines on Employee Selection Procedures, or other functions vested in the Commission.

3. To the Federal Labor Relations Authority, its General Counsel, the Federal Mediation and Conciliation Service, the Federal Service Impasses Panel, or an arbitrator when information is requested in connection with investigations of allegations of unfair practices, matters before an arbitrator or the Federal Service Impasses Panel.

4. To the appropriate agency in the event an appeal is made outside Social Security Administration records, which are relevant when that agency is charged with rendering a decision on the appeal.

5. To Federal, State and local law enforcement agencies in the event that this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature.

6. To the Department of Justice for the purpose of obtaining its advice in the event the Social Security Administration deems it desirable or necessary, in determining whether particular records are required to be

disclosed under the Freedom of Information Act.

7. To a Federal, State or local agency maintaining civil, criminal or other relevant enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an Agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

8. To a Federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant or other benefit by the requesting agency, to the extent that the record is relevant and necessary to the requesting agency's decision on the matter.

9. To a Federal agency having the power to subpoena records, for example, the Internal Revenue Service or the Civil Rights Commission, in response to a subpoena for information contained in this system of records.

10. To officials of labor organizations recognized under 5 U.S.C. Chapter 71 when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices, and matters affecting conditions of employment.

11. To contractors for the purpose of collating, analyzing, aggregating or otherwise refining records in this system. The contractor shall be required to maintain Privacy Act safeguards with respect to such records.

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

13. To the Department of Justice (DOJ), a court or other tribunal, or another party before such tribunal when:

(a) The Social Security Administration (SSA), or any component thereof; or

(b) Any SSA employee in his/her official capacity; or

(c) Any SSA employee in his/her individual capacity where DOJ (or SSA where it is authorized to do so) has agreed to represent the employee; or

(d) The United States or any agency thereof where SSA determines that the litigation is likely to affect the operations of SSA or any of its components, is a party to the litigation or has an interest in such litigation, and SSA determines that the use of such records of DOJ, a court or other tribunal, or another party before such tribunal, is

relevant and necessary to the litigation, provided, however, that in each case, SSA determines that such disclosure is compatible with the purpose for which the records were collected.

14. 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.

15. 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.

16. 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 are maintained in automated form (e.g., hard drives, floppy disks, CD-ROM, magnetic tapes) and in paper form (e.g., file folders, index cards).

RETRIEVABILITY:

Records are retrieved by any combination of name, SSN, or identification number.

RETENTION AND DISPOSAL:

Records in this system are retained for varying lengths of time, ranging from a few months to 5 years. Most records are retained for a period of 1 to 2 years. Some records, such as individual applications, become part of the person's permanent official records when hired, while some records are destroyed 45 days after the individual leaves the jurisdiction of the operating office or, if appropriate, are combined with the Official Personnel Folder (OPF), which is forwarded to the hiring Federal agency or, if the employee is leaving Federal service, to the National

Personnel Records Center. Some records are destroyed by shredding or burning while magnetic tapes or disks are erased.

SYSTEM MANAGER(S) AND ADDRESS(ES):

For paper files

In Headquarters: Director, Center for Personnel Policy and Staffing, Office of Personnel, 6401 Security Boulevard, Baltimore, Maryland 21235.

In the Field: Director, Center for Human Resources, Office of the Regional Commissioners:

IN THE BOSTON REGION (CONNECTICUT, MAINE, MASSACHUSETTS, NEW HAMPSHIRE, RHODE ISLAND, VERMONT):

Social Security Administration, Boston Regional Office, J.F.K. Federal Building, Room 1900, Boston, Massachusetts 02203.

IN THE NEW YORK REGION (NEW JERSEY, NEW YORK, PUERTO RICO, VIRGIN ISLANDS):

Social Security Administration, New York Regional Office, Room 40-102, 26 Federal Plaza, New York, New York 10278.

IN THE PHILADELPHIA REGION (DELAWARE, DISTRICT OF COLUMBIA, MARYLAND, PENNSYLVANIA, VIRGINIA, WEST VIRGINIA):

Social Security Administration, Philadelphia Regional Office, 300 Spring Garden Street, Philadelphia, Pennsylvania 19123.

IN THE ATLANTA REGION (ALABAMA, NORTH CAROLINA, SOUTH CAROLINA, FLORIDA, GEORGIA, KENTUCKY, MISSISSIPPI, TENNESSEE):

Social Security Administration, Atlanta Regional Office, 61 Forsyth Street, S.W., Suite 22T64, Atlanta, Georgia 30303-8907.

IN THE CHICAGO REGION (ILLINOIS, INDIANA, MICHIGAN, MINNESOTA, OHIO, WISCONSIN):

- Social Security Administration, Chicago Regional Office, Harold Washington Social Security Center, P.O. Box 8280, 10th Floor, Chicago, Illinois 60680-8280.

- Social Security Administration, Office of Central Operations, Center for Management Support, 1500 Woodlawn Drive, Room 7030 Security West Tower, Baltimore, Maryland 21241-1500.

IN THE DALLAS REGION (ARKANSAS, LOUISIANA, NEW MEXICO, OKLAHOMA, TEXAS):

Social Security Administration, Dallas Regional Office, 1301 Young Street, Suite 500, Dallas, Texas 75202-5433.

IN THE KANSAS CITY REGION (IOWA, KANSAS, MISSOURI, NEBRASKA):

Social Security Administration, Kansas City Regional Office, Richard Bolling Federal Building, Room 436,

601 East 12th Street, Kansas City, Missouri 64106.

IN THE DENVER REGION (COLORADO, MONTANA, NORTH DAKOTA, SOUTH DAKOTA, UTAH, WYOMING):

Social Security Administration, Denver Regional Office, Federal Office Building, 1961 Stout Street, Room 325, Denver, Colorado 80294.

IN THE SAN FRANCISCO REGION (AMERICAN SAMOA, ARIZONA, CALIFORNIA, GUAM, HAWAII, NEVADA, NORTHERN MARIANNA ISLANDS):

Social Security Administration, San Francisco Regional Office, Frank Hagel Federal Building, P.O. Box 4200, Richmond, California 94801.

IN THE SEATTLE REGION (ALASKA, IDAHO, OREGON, WASHINGTON):

Social Security Administration, Seattle Regional Office, 701 Fifth Avenue, Suite 2900, M/S 301, Seattle, Washington 98104-7075.

For magnetic media files: Director, Center for Personnel Management Information Systems and Payroll, Office of Personnel, Social Security Administration, 6401 Security Boulevard, Baltimore, Maryland 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. 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. 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. This procedure is in accordance with SSA Regulations (20 CFR 401.65(a)).

RECORD SOURCE CATEGORIES:

Information in this system of records either comes from the individual to whom it applies, is derived from information supplied by the individual, or is provided by SSA officials.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE PRIVACY ACT:

None.

Note: When supervisors/managers retain personal "supervisory" notes (i.e., information on employees that the Agency exercises no control and does not require or specifically describe in its performance appraisal system, which remain solely for the personal use of the author and are not provided to any other person, and which are retained or discarded at the author's sole discretion), such notes are not subject to the Privacy Act and are, therefore, not considered part of this system. If any of the above conditions are violated, these notes are no longer merely personal notes serving as an aid to the supervisor's memory, but become records subject to the Privacy Act.

SYSTEM NUMBER: 60-0241

SYSTEM NAME:

Employee Suggestion Program Records, Social Security Administration, Deputy Commissioner for Human Resources, Office of Personnel, Center for Employee Services.

SECURITY CLASSIFICATION:

None.

SYSTEM LOCATION:

Social Security Administration, Office of Human Resources, Office of Personnel, Center for Employee Services, Central Suggestion Team, 6401 Security Boulevard, Baltimore, Maryland 21235.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals who have made suggestions in the Social Security Administration (SSA); and/or suggestions made by individuals in other Federal agencies requiring an SSA evaluation.

CATEGORIES OF RECORDS IN THE SYSTEM:

Suggestions, evaluations of suggestions, name and address of individual submitting suggestions and evaluating the suggestions, other identifying information such as pay plan and grade, position title, Social Security number (SSN), timekeeper number and telephone number.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 4501 *et seq.*

PURPOSE(S):

Records in this system are used to control, evaluate, and make award determinations on employee suggestions. The Central Suggestion Team maintains these records in SSA's Office of Personnel.

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 the Office of Personnel Management information related to a suggestion award when approval from that office is needed in order to grant an award.
2. To a congressional office in response to an inquiry from that office made at the request of the subject of a record.
3. To the Department of Justice (DOJ), a court or other tribunal, or another party before such tribunal, when:

(a) The Social Security Administration (SSA), or any component thereof; or

(b) Any SSA employee in his/her official capacity; or

(c) Any SSA employee in his/her individual capacity where DOJ (or SSA, where it is authorized to do so) has agreed to represent the employee; or

(d) The United States or any agency thereof where SSA determines that the litigation is likely to affect SSA or any of its components, is a party to the litigation or has an interest in such litigation, and SSA determines that the use of such records by DOJ, a 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 purpose for which the records were collected.

1. 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.

2. 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.

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

STORAGE:

The records are maintained in paper form (e.g., file folders) in locked file cabinets and in an electronic system on a server housed in the National Computer Center in Woodlawn, Maryland.

RETRIEVABILITY:

The records are retrieved by suggestion number or by the name of the employee.

SAFEGUARDS:

Access is restricted to authorized staff and evaluators. Component evaluators are given a copy of suggestions. Access http://www.socialsecurity.gov/foia/bluebook/app_g.htm for additional information relating to SSA data security measures.

RETENTION AND DISPOSAL:

After final action to make or deny an award, suggestion records are