

months after the final payment of the contract that expires in September 2001.

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

Director, Program Systems Service, U.S. Department of Education, Office of Student Financial Assistance, 400 Maryland Avenue, SW, ROB-3, room 4640, Washington, DC 20202.

**NOTIFICATION PROCEDURE:**

If you wish to determine whether a record exists regarding you in the system of records, contact the system manager. Your request must meet the requirements of the Department's Privacy Act regulations at 34 CFR 5b.5, including proof of identity.

**RECORD ACCESS PROCEDURES:**

If you wish to gain access to a record regarding you in the system of records, contact the system manager. Your request must meet the requirements of the Department's Privacy Act regulations at 34 CFR 5b.5, including proof of identity.

**CONTESTING RECORD PROCEDURES:**

If you wish to contest the content of a record regarding you in the system of records, contact the system manager. Your request must meet the requirements of the Department's Privacy Act regulations at 34 CFR 5b.7.

**RECORD SOURCE CATEGORIES:**

Information in this system is obtained from the following entities: Financial Aid Administrators, Postsecondary Institutions, Third-Party Servicers, Software Providers, Lenders, Guaranty Agencies, and State Scholarship Programs.

**SYSTEM EXEMPTED FROM CERTAIN PROVISION OF THE ACT:**

None.  
18-11-11

**SYSTEM NAME:**

Office of the Student Loan Ombudsman Records.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

Office of the Student Loan Ombudsman, Student Financial Assistance, 400 Maryland Avenue, SW., ROB-3, Room 3717, Washington, DC 20202.

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

This system contains records on individuals who are, were, or may be participants in any of the Title IV Student Financial Assistance Programs and who request assistance from the Ombudsman.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

This system consists of a variety of records that identify the individuals' complaints, requests for assistance, or other inquiries. Records include, but are not limited to: Written documentation of the individual's complaint; request for assistance or other inquiry; and information pertaining to the student's or parent's Title IV student financial assistance program account(s), such as the person's name, Social Security number, date of birth, address, telephone number(s), and personal identification number. Additionally, records will include the name, address, and phone numbers of school(s), lender(s), secondary holder(s) or lender(s), guaranty agency(ies), and servicer(s).

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

20 U.S.C. 1018(f) (1998).

**PURPOSE(S):**

The information contained in this system will be used for a number of purposes related to the duties and responsibilities of the SFA Ombudsman, including: Verifying the identities of individuals; recording complaints and problems; tracking individual cases through final resolution; reporting complaint trends; analyzing the data to recommend improvements in student financial assistance programs; and assisting in the informal resolution of disputes.

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

The Department of Education (the Department) may disclose information contained in a record in this system of records under the routine uses listed in this system of records without the consent of the individual if the disclosure is compatible with the purposes for which the record was collected. These disclosures may be made on a case-by-case basis or, if the Department has complied with the computer matching requirements of the Privacy Act, under a computer matching agreement.

(1) *Program Disclosure.* The Department may disclose records to schools, lenders, guaranty agencies, and servicers when it is necessary to obtain further information about the complaint, request for assistance, or other inquiry before it can be resolved.

(2) *Disclosure for Use by Other Law Enforcement Agencies Concerning Possible Violations of the Criminal Laws or Actions Initiated for Civil Fraud.* The Department may disclose information to any Federal, State, local or foreign

agency or other public authority responsible for enforcing, investigating, or prosecuting violations of the criminal laws or actions initiated for civil fraud, if that information is relevant to any enforcement, regulatory, investigative, or prosecutive responsibility within the receiving entity's jurisdiction.

(3) *Enforcement Disclosure Concerning Violations of the Criminal Laws or Actions Initiated for Civil Fraud.* In the event that information in this system of records indicates, either on its face or in connection with other information, a violation or potential violation of the criminal laws or actions initiated for civil fraud, the Department may disclose the relevant records to the appropriate agency, whether foreign, Federal, State, Tribal, or local, charged with the responsibility of investigating or prosecuting that violation or charged with enforcing or implementing the statute, executive order, rule, regulation, or order issued pursuant thereto.

(4) *Litigation and Alternative Dispute Resolution (ADR) Disclosures.*

(a) *Introduction.* In the event that one of the parties listed below is involved in litigation or ADR concerning the actions of the Ombudsman's office or its employees, or has an interest in such litigation or ADR, the Department may disclose certain records to the parties described in paragraphs (b), (c) and (d) of this routine use under the conditions specified in those paragraphs: (i) the Department, or any component of the Department; or

(ii) Any Department employee in his or her official capacity; or

(iii) Any Department employee in his or her individual capacity if the Department of Justice (DOJ) has agreed to provide or arrange for representation for the employee;

(iv) Any Department employee in his or her individual capacity where the agency has agreed to represent the employee; or

(v) The United States where the Department determines that the litigation is likely to affect the Department or any of its components.

(b) *Disclosure to the DOJ.* If the Department determines that disclosure of certain records to the DOJ is relevant and necessary to litigation or ADR, the Department may disclose those records as a routine use to the DOJ.

(c) *Administrative Disclosures.* If the Department determines that disclosure of certain records to an adjudicative body before which the Department is authorized to appear, an individual or entity designated by the Department or otherwise empowered to resolve or mediate disputes is relevant and necessary to the administrative

litigation, the Department may disclose those records as a routine use to the adjudicative body, individual, or entity.

(d) *Parties, counsels, representatives and witnesses.* If the Department determines that disclosure of certain records to a party, counsel, representative or witness in an administrative proceeding is relevant and necessary to the litigation, the Department may disclose those records as a routine use to the party, counsel, representative or witness.

(5) *Disclosure to the Department of Justice (DOJ).* The Department may disclose records to the DOJ to the extent necessary for obtaining DOJ advice on any matter relevant to an audit, inspection, or other inquiry related to the programs covered by this system.

(6) *Contract Disclosure.* If the Department contracts with an entity for the purposes of performing any function that requires disclosure of records in this system to employees of the contractor, the Department may disclose the records to those employees. Before entering into such a contract, the Department shall require the contractor to maintain Privacy Act safeguards as required under 5 U.S.C. 552a(m) with respect to the records in the system.

(7) *Research Disclosure.* The Department may disclose records to a researcher if an appropriate official of the Department determines that the individual or organization to which the disclosure would be made is qualified to carry out specific research related to functions or purposes of this system of records. The official may disclose records from this system of records to that researcher solely for the purpose of carrying out that research related to the functions or purposes of this system of records. The researcher shall be required to maintain Privacy Act safeguards with respect to the disclosed records.

(8) *Congressional Member Disclosure.* The Department may disclose records to a member of Congress from the record of an individual in response to an inquiry from the member made at the written request of that individual. The member's right to the information is no greater than the right of the individual who requested it.

**DISCLOSURE TO CONSUMER REPORTING AGENCIES:**

Not applicable.

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

**STORAGE:**

These records will be maintained either in hard copy or in an electronic database.

**RETRIEVABILITY:**

Records are indexed by Social Security number, name, date of birth and case tracking number.

**SAFEGUARDS:**

Access to and use of these records shall be limited to those persons whose official duties require access. This includes staff members of the Office of the Student Loan Ombudsman, other Department offices and agents of the Department. All physical access to the sites where this system of records is maintained, is controlled and monitored by security personnel who check each individual entering the building for his or her employee or visitor badge.

The computer system offers a high degree of resistance to tampering and circumvention. This security system limits data access to staff on a "need to know" basis, and controls individual users' ability to access and alter records within the system. All users of this system of records are given unique user IDs with personal identifiers. All interactions by individual users with the system are recorded.

**RETENTION AND DISPOSAL:**

The records on all student loans are retained for a period of five years after the loan has been repaid, cancelled or otherwise forgiven or the account closed. Records pertaining to grants awarded by the Department are destroyed five years after the initial disbursement. Records are maintained for the period of time needed to resolve cases, conduct analyses and prepare reports.

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**RECORD SOURCE CATEGORIES:**

Information is obtained from the individuals (e.g. borrowers) schools, lenders, and guaranty agencies.

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

None.

**SYSTEM NAME:**

The Department of Education (ED) PIN (Personal Identification Number) Registration System.

**SECURITY CLASSIFICATION:**

None.

**SYSTEM LOCATION:**

National Computer Systems (NCS), 2510 North Dodge Street, Iowa City, IA 52240.

Virtual Data Center, Meriden Data Center, 71 Deerfield Lane Meriden, CT 06450 (after Spring 2000).

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

The ED PIN Registration System contains records about former, current and prospective students, and parents who apply for an ED PIN number. The ED PIN number is used for identification purposes when PIN holders access other Department of Education systems.

**CATEGORIES OF RECORDS IN THE SYSTEM:**

This system contains identification information such as name, Social Security Number (SSN), date of birth and address.

**AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

The Higher Education Act of 1965, as amended, 20 U.S.C. 1092b.

**PURPOSE(S):**

This information contained in this system will be used to generate and confirm PIN numbers for those individuals wishing to access various student financial assistance systems (including FAFSA, Access America and the Direct Loan Program) to obtain information about their personal records. The ED PIN number that is generated and stored by this system can