

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

TO: **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

JOB NO
NC1-47-81-17

1. FROM (AGENCY OR ESTABLISHMENT)
HHS

DATE RECEIVED
June 2, 1981

2. MAJOR SUBDIVISION
SSA

NOTIFICATION TO AGENCY

3. MINOR SUBDIVISION
Office of Hearings and Appeals

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.

4. NAME OF PERSON WITH WHOM TO CONFER
Ernest P. Lardieri

5. TEL EXT.
594-5770

9-8-81 *Edward Ueldon*
Date acting Archivist of the United States

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE 6/29/81	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Dr. George Deal</i>	E. TITLE Department Records Management Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
A.	<p><u>Records Retention and Disposal Schedule</u> <u>Headquarters Hearings and Appeals Files</u></p> <p><u>Recordings of Claimant Hearings</u></p> <p>These are verbatim recordings of hearings held by administrative law judges (ALJ) of the Office of Hearings and Appeals (OHA). These are initially recorded on cassettes by hearing offices and rerecorded on master tape reels by OHA Central Offices. The hearings result when a claimant for social security benefits appeals SSA's initial decision to deny him/her such benefits. The tape recording records are used by the ALJ, along with documentary materials, in deciding whether to grant or deny benefits to the claimant. The records constitute legal evidence upon which the ALJ's decision is based. They are retained for the following reasons:</p> <p>In the event that the ALJ denies benefits to the claimant, the claimant may request review of the ALJ's decision by OHA's Appeals Council. The tape hearing records are retained for review by the Appeals Council so that they can determine whether the ALJ's decision was justified by the evidence.</p>	NC1-47-78-1	

*Closed out: 9-11-81: R.T.H.
Copy to Agency & NAR*

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>2. In the event that the Appeals Council denies benefits to the claimant, the claimant may file a civil action against the agency in the appropriate Federal district court. In such instances, a written transcript is prepared from the taped hearing record and forwarded to the court for review along with the documentary evidence relating to the case. This material constitutes the evidence upon which the agency defends the case in court.</p> <p>3. Following final SSA or court action on the case, the case may be reopened at <u>any later time</u> for one of several reasons enumerated in 20 C.F.R. 404.957. The taped hearing records are retained for review in the event that the case is subsequently reopened.</p> <p>NOTE: Claimant hearing records may be in the form of tape cassettes for individual cases (prior to 1981 and stored in the Federal Records Center) or master reels containing recordings of many claimants (a new system initiated in 1981).</p> <p>1. <u>Hearing Office</u></p> <p>Forward hearing cassettes for all decisions to OHA Central Office (Arlington, Virginia) after case decision.</p> <p>2. <u>OHA Headquarters</u></p> <p>a. <u>Tape Cassettes</u></p> <ol style="list-style-type: none"> 1. Transfer all cassettes to Washington National Records Center (WNRC) 12 months after last action on the case. 2. Destroy after 10 years retention in WNRC. <p>b. <u>Master Reels</u></p> <ol style="list-style-type: none"> 1. <u>Record Copy</u> <p>Transfer to the WNRC when 3 months old. Destroy when 10 years, 3 months old.</p> <ol style="list-style-type: none"> 2. <u>Other Copy</u> <p>Erase and return to blank stock when 3 years old.</p>		

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B	<p>B. <u>Automated Mass Storage and Retrieval System (AMSARS) Administrative Records</u></p> <p>Records created and maintained from AMSARS, a mass storage and retrieval system for rerecording of tape cassettes from individual claimant hearings (see item A above). The records consist of equipment maintenance checklists; worksheets; defect investigation reports; packing lists; reference requests; and transcript contractor defect reports. These records are used to control maintenance of cassette tape equipment; communicate recording problems and packing instructions to hearing offices; and request copies of taped hearing records. Records are maintained by OHA headquarters unless otherwise specified.</p> <p>Specific forms or records, or their equivalents, include:</p> <ol style="list-style-type: none"> 1. Form SSA-2962, AMSARS Check List A-Maintenance of Equipment. <ol style="list-style-type: none"> a. <u>Central Office</u> Destroy when 1 year old. b. <u>Hearing Office</u> Destroy when 1 year old. 2. Form SSA-2963, AMSARS Worksheet Destroy when 1 year old. 3. Form SSA-2964, AMSARS Defect Investigation Report <ol style="list-style-type: none"> a. <u>Central Office</u> Destroy when 3 years old. b. <u>Regional Office</u> Destroy when 2 years old. c. <u>Hearing Offices</u> Destroy when 2 years old. 		

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	<p>4. Form SSA 2965, Request for Tape Cassette Recording Destroy when 1 year old.</p> <p>5. Form SSA-2966, Packing List for Shipment of Tape Cassettes</p> <p>a. <u>Central Office</u> Destroy when 1 year old.</p> <p>b. <u>Hearing Office</u> Destroy when 90 days old.</p> <p>6. Form SSA-2967, Transcript Contractor Report <u>Hearing Offices</u> Destroy after analysis of problem.</p> <p>7. AMSARS Reel Tape Register Destroy when 3 years old.</p> <p>8. Form SSA-2961-LB, Labels Destroy when cassette is erased and returned to blank stock.</p> <p style="text-align: center;"><u>Field Hearings and Appeals Files</u></p> <p><u>Hearing Preparation Records</u></p> <p>Form SSA-L-1085, Preparation for Hearings, or its equivalent, used by hearing office personnel to schedule hearing rooms and prepare materials for claimant hearings. Destroy when 2 months old.</p>		

C.