Filing a Social Security Administration electronic Certified Administrative Record (eCAR) in CM/ECF

a step-by-step guide

07/02/2010	5	ADMINISTRATIVE RECORD received from Social Security Administration filed by Defendant Michael J. Astrue. (Attachments: # 1 Appendix Court Transcript Index, # 2 Appendix ALJ decision and ODAR hearing transcript, # 3 Appendix Payment Documents and Decisions, # 4 Appendix Jurisdictional Documents and Notices, # 5 Appendix Non Disability Related Development, # 6 Appendix Disability Related Development, # 7 Appendix Medical Records part 1, # 8 Appendix Medical Records part 2, # 9 Appendix Medical Records part 3)(Wisz, Katherine) (Entered: 07/02/2010)

An electronic version of this document and additional related information can be found at http://www.utd.uscourts.gov/nuffer/Links-eCars.htm

Table of Contents

<center>I.   Introduction</center>

The Social Security Administration (SSA) has instituted an electronic claims file.   From this electronic file, SSA has gained the ability, through agency-developed software, to generate an electronic administrative record. Some jurisdictions either accept or require electronic filing of administrative records at this time.[1]

The focus of this guide concerns the electronic filing in CM/ECF of SSA administrative records that begin as electronic files and are converted into a functional pdf document for filing in the district court's CM/ECF system. Cases in which the record has been electronic from the creation of the file and, if the certified administrative record was prepared after the new process took effect, will use the format described below.[2]

By following this guide, a filer will create a docket entry in CM/ECF that provides a highly usable electronic SSA administrative record with functioning hyperlinks.

SSA prepares the administrative record for filing. The Office of Appellate Operations carries this responsibility. In most districts, the local United States Attorney actually does the physical electronic filing in the court's CM/ECF system.

SSA administrative records are large. At their inception, they are created to aid the Administration in making a determination regarding a person's eligibility for disability benefits. The electronic file is created with logical divisions. The electronic Certified Administrative Record (eCAR) retains those logical divisions. An eCAR has the following elements:

1. Certification Page
2. Court Transcript Index
3. Documents Related to Administrative Process (including the ALJ decision and transcript of the oral hearing, if applicable)
4. Payment Documents and Decisions
5. Jurisdictional Documents and Notices
6. Non-Disability Related Development
7. Disability Related Development
8. Medical Records

SSA OAO produces a CD that contains the eCAR and delivers it to the US Attorney.

---

[1] The number of jurisdictions accepting eCAR changes on a daily basis. For a depiction of the filing practices across the 94 jurisdictions, please see Appendix 1: eCAR Filing Practices diagram

[2] Courts may also see two other kinds of electronic certified administrative records from Social Security: cases that began as paper and were converted to an electronic form to upload in CM/ECF – these will follow a size-segmented format; electronic cases that were converted to pdf in a size-segmented format. Paper certified administrative records will still exist for social security cases which have paper files

II.	SSA Encryption

When you insert the disc from SSA with the eCAR this screen appears:
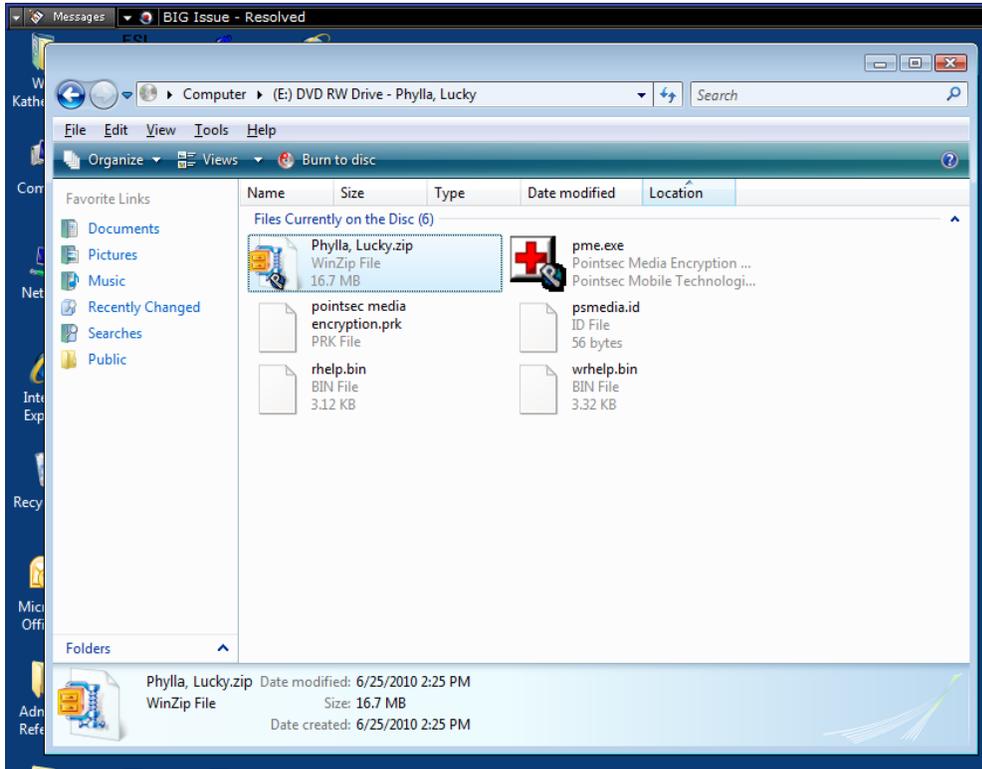
The Social Security Administration is obligated to protect personally identifiable information (PII). Thus, SSA will encrypt any information sent in electronic format as a precaution and safety measure to protect the PII. Non-SSA users must enter a login and password to open the eCAR.
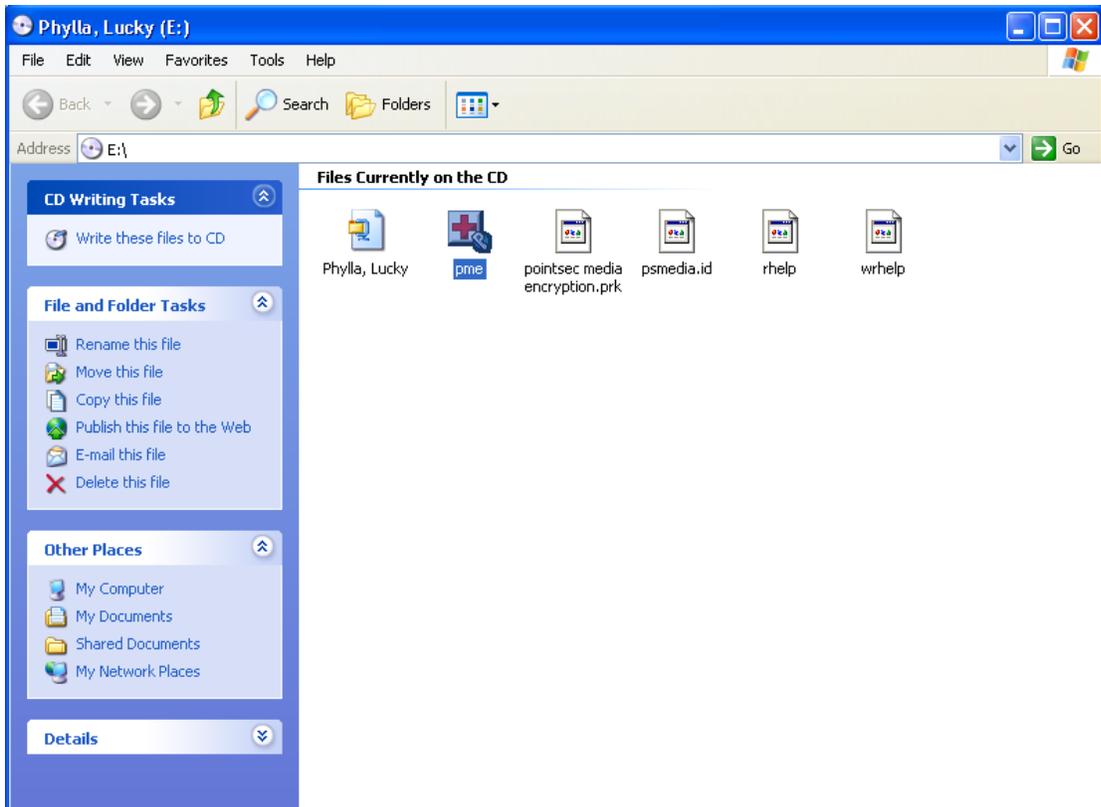
Double click on the red cross PME icon. You will be prompted for an account name and password:
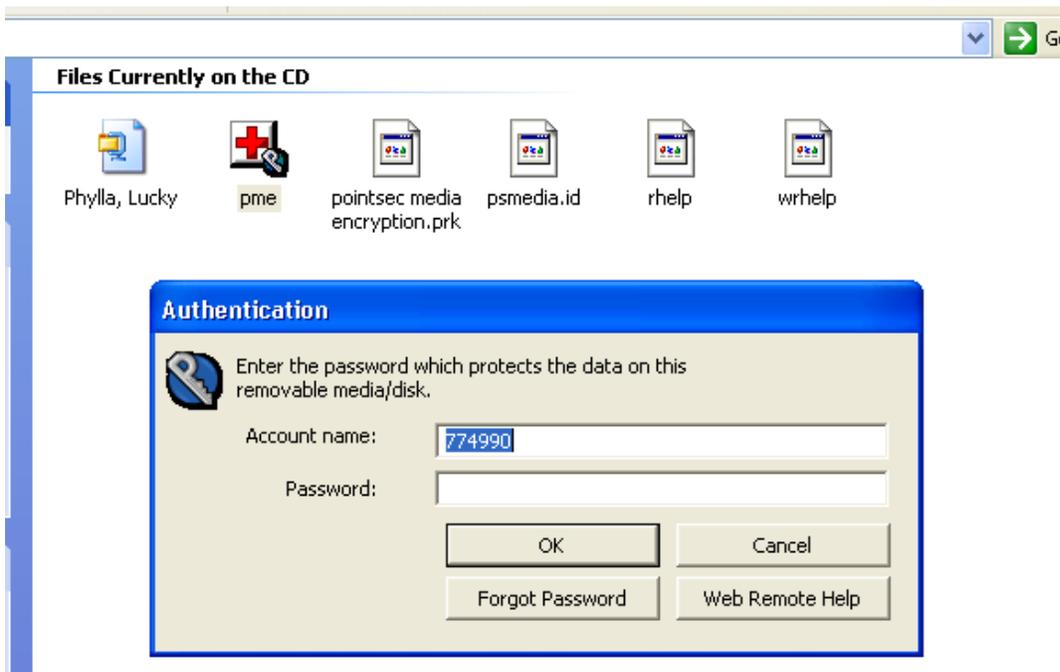
SSA will provide the account name and password to enable access to the information in the eCAR. Enter the account name:

encryption.prk

Authentication

Enter the password which protects the data on this removable media/disk.

Account name: ssa

Password:

OK   Cancel

Forgot Password   Web Remote Help

Enter the SSA provided password:
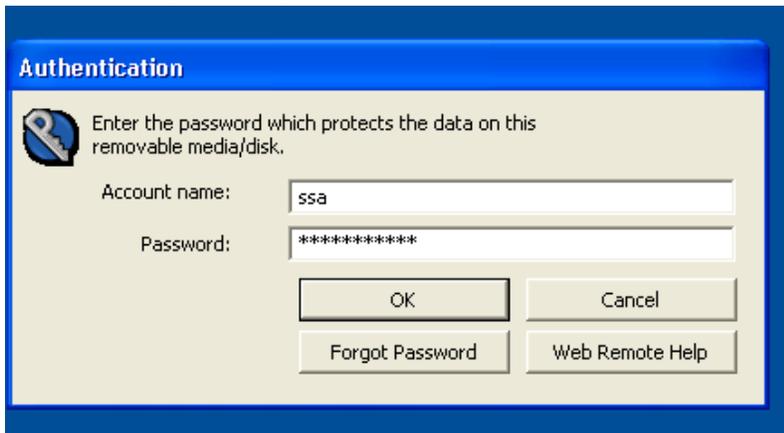
Click OK.

This screen will appear:
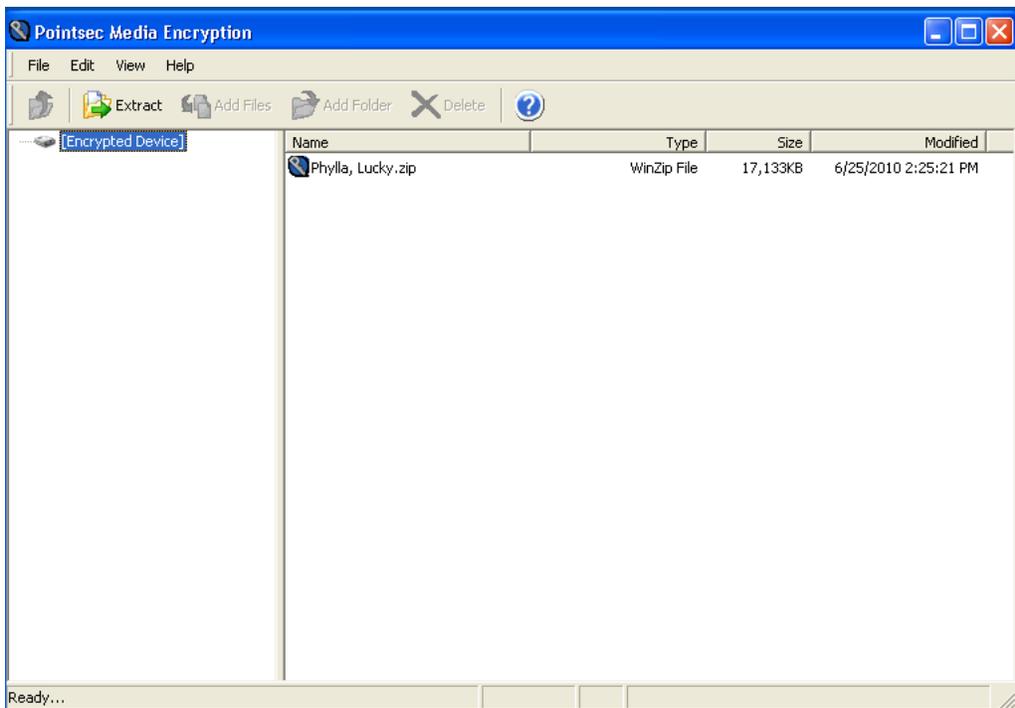
III.   Saving encrypted files to a drive

Double click the .zip file icon. The main screen for the eCAR will appear:
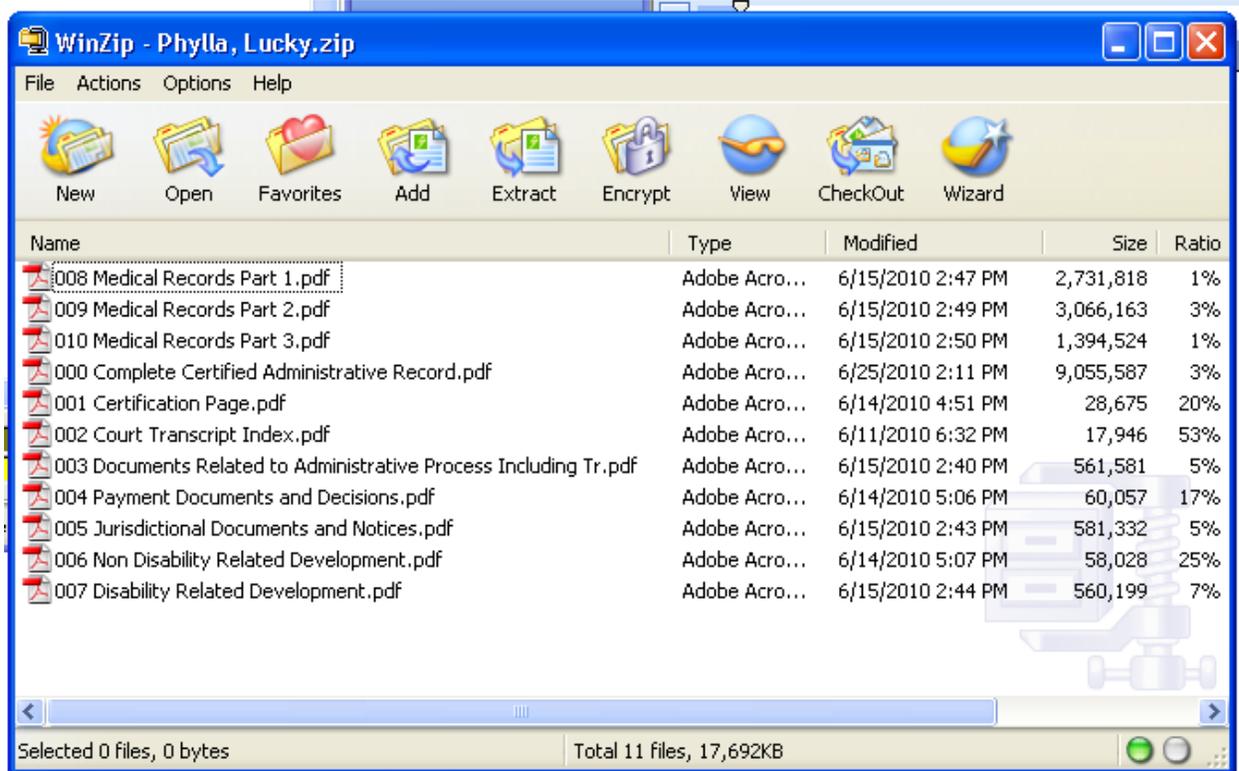
In order to use CM/ECF you have to be able to browse to a drive on your computer to retrieve the documents you are going to file.

The eCAR documents are encrypted. Thus, you will have to save them to a drive on your computer in an unencrypted form so that you can access them when you are ready to file in CM/ECF.

To save the files on your computer, select all the files and click extract. Select a drive on your computer to extract the files to.

Now you are ready to file the Administrative Record.

IV.   Logging in to CM/ECF

Log in to CM/ECF:

CM/ECF Filer or PACER Login

Notice
This is a **Restricted Web Site** for Official Court Business only. Unauthorized entry is prohibited and subject to prosecution under Title 18 of the U.S. Code. All activities and access attempts are logged.

Instructions for filing:
Enter your CM/ECF filer login and password if you are electronically filing something with the court.

If you received this login page as a result of a link from a Notice of Electronic Filing email:
Enter your CM/ECF filer login and password. The system prompts customers for a CM/ECF login and password when attempting to view certain types of documents.

If you have trouble viewing a document:
After successful entry of your CM/ECF login, you should be able to view the document. If you receive the message "You do not have permission to view this document," viewing the document is restricted to attorneys of record in the case and the system does not recognize you as such. If the login prompt appears again, after you have entered your CM/ECF login and password, it means that the "free look" link has expired. You will need to enter your PACER login and password to view the document.

Instructions for viewing filed documents and case information:
If you do not need filing capabilities, enter your PACER login and password. If you do not have a PACER login, you may register online at http://pacer.psc.uscourts.gov.

If you have lost or forgotten your District of Utah password, click here.

Authentication	IMPORTANT NOTICE OF REDACTION RESPONSIBILITY: All filers must redact:
Login:	Social Security or taxpayer-identification numbers; dates of birth; names of minor children; financial account numbers; and, in criminal cases, home addresses, in compliance with Fed. R. Civ. P. 5.2 or Fed. R. Crim. P. 49.1. This requirement applies to all documents, including attachments.
Password:	
client code:	☐ I understand that, if I file, I must comply with the redaction rules. I have read this notice.

[Login] [Reset]

Notice

User your CM/ECF login and password (rather than PACER) because you are going to FILE documents in the court's system:

CM/ECF Filer or PACER Login

Notice
This is a **Restricted Web Site** for Official Court Business only. Unauthorized entry is prohibited and subject to prosecution under Title 18 of the U.S. Code. All activities and access attempts are logged.

Instructions for filing:
Enter your CM/ECF filer login and password if you are electronically filing something with the court.

If you received this login page as a result of a link from a Notice of Electronic Filing email:
Enter your CM/ECF filer login and password. The system prompts customers for a CM/ECF login and password when attempting to view certain types of documents.

If you have trouble viewing a document:
After successful entry of your CM/ECF login, you should be able to view the document. If you receive the message "You do not have permission to view this document," viewing the document is restricted to attorneys of record in the case and the system does not recognize you as such. If the login prompt appears again, after you have entered your CM/ECF login and password, it means that the "free look" link has expired. You will need to enter your PACER login and password to view the document.

Instructions for viewing filed documents and case information:
If you do not need filing capabilities, enter your PACER login and password. If you do not have a PACER login, you may register online at http://pacer.psc.uscourts.gov.

If you have lost or forgotten your District of Utah password, click here.

Authentication

Login:	wiszkatd
Password:	••••••••
client code:	

[Login] [Reset]

IMPORTANT NOTICE OF REDACTION RESPONSIBILITY: All filers must redact: Social Security or taxpayer-identification numbers; dates of birth; names of minor children; financial account numbers; and, in criminal cases, home addresses, in compliance with Fed. R. Civ. P. 5.2 or Fed. R. Crim. P. 49.1. This requirement applies to all documents, including attachments.

☑ I understand that, if I file, I must comply with the redaction rules. I have read this notice.

This takes you to the main screen of CM/ECF

Electronic Case Filing System [TEST]
District of Utah [TEST]
Official Court Electronic Document Filing System

CMECF - TEST is running Version 4.0.3

This facility is for Official Court Business only. Activity to and from this site is logged. Document filings on this system are subject to Federal Rule of Civil Procedure 11. Evidence of unauthorized or criminal activity will be forwarded to the appropriate law enforcement officials.

Welcome to the Electronic Case Filing System [TEST] for the District of Utah [TEST] Electronic Document Filing System. This page is for use by attorneys and firms participating in the electronic filing system. The most recent version of the Adobe PDF reader can be obtained by selecting the *PDF Settings* option listed below.

PDF Settings

V.   Finding the Administrative Record event in CM/ECF

Each district has a different name in its dictionary for the SSA Administrative Record event. So start by doing a search in CM/ECF for the event:

A dialog box appears for you to insert the text of your query:
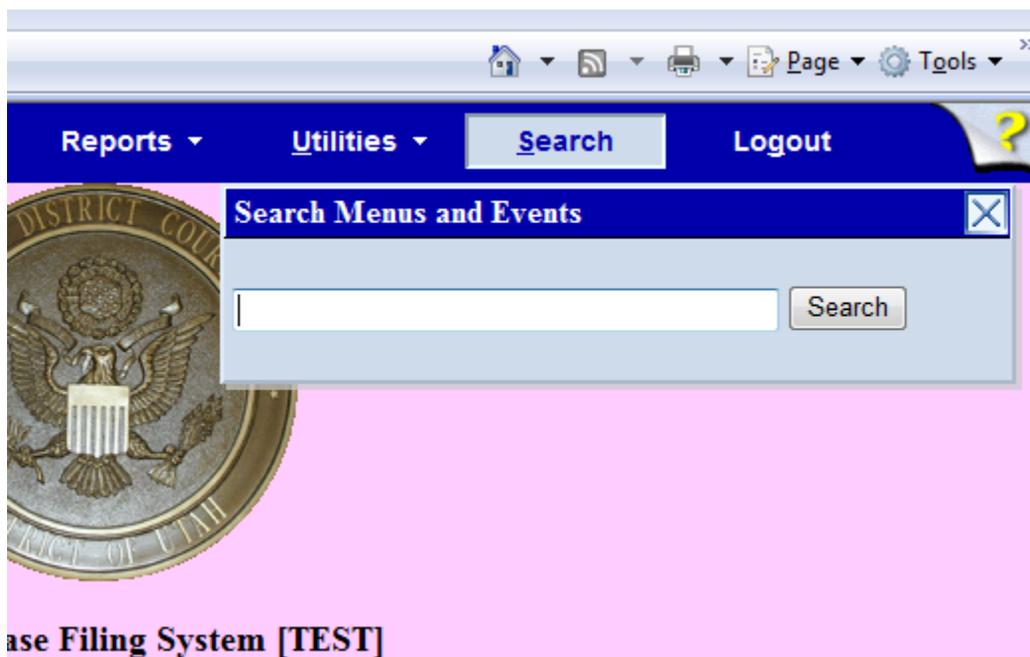
Search for SSA Administrative Record, or SSA Transcript:

Search results will appear:
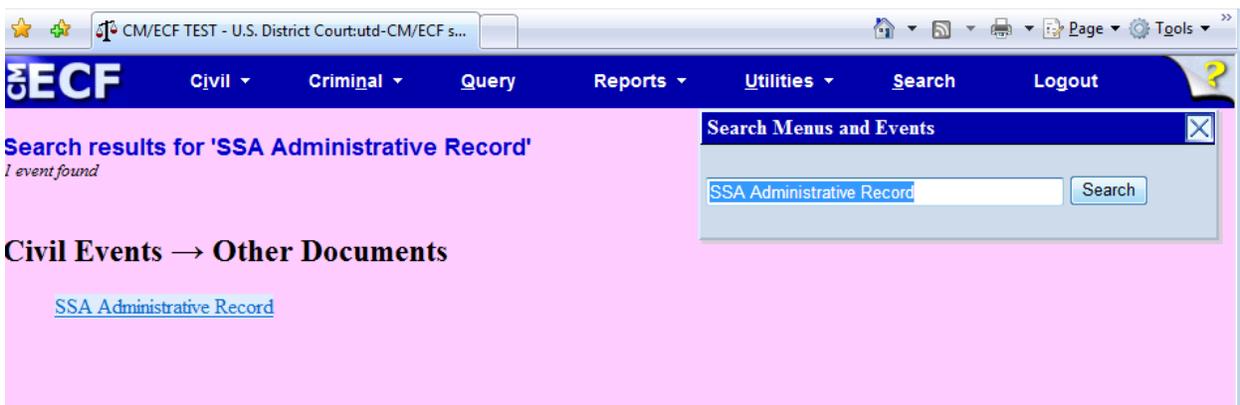
You can click the hyperlinked event name to start the docketing process, or you can follow the menu tree to navigate to the event from the identified menu. The displayed search result tells you which menu to look in to file the eCAR.

If the search result does not provide a specific event, contact your civil case manager to determine the correct event to use.

For purposes of this guide, the search result directs that the event is listed under Civil Events. So click on Civil on the main blue menu at the top:
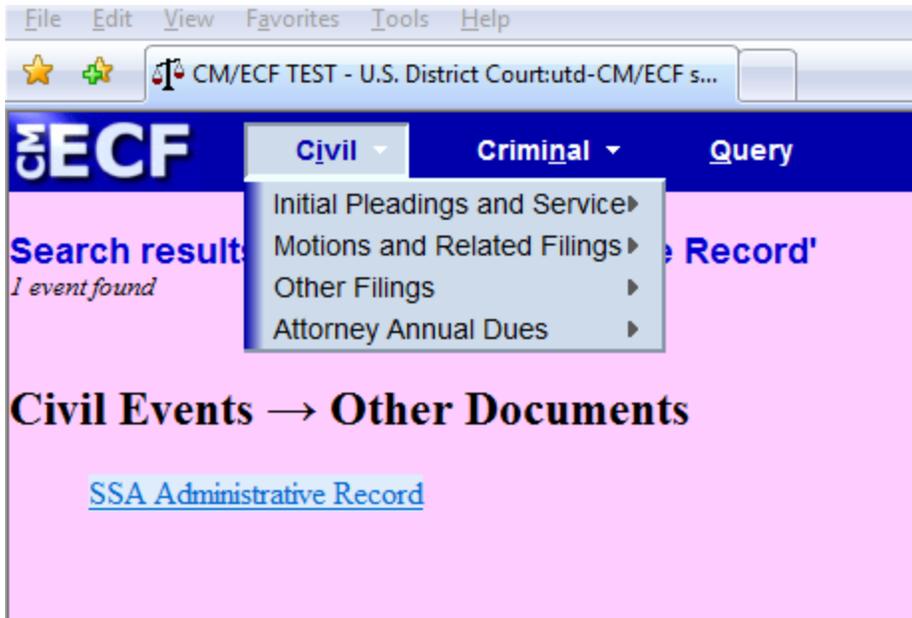
Scrolling through the menus under the civil menu, we find that in this CM/ECF system, Other Documents lives under the Other Filings menu:
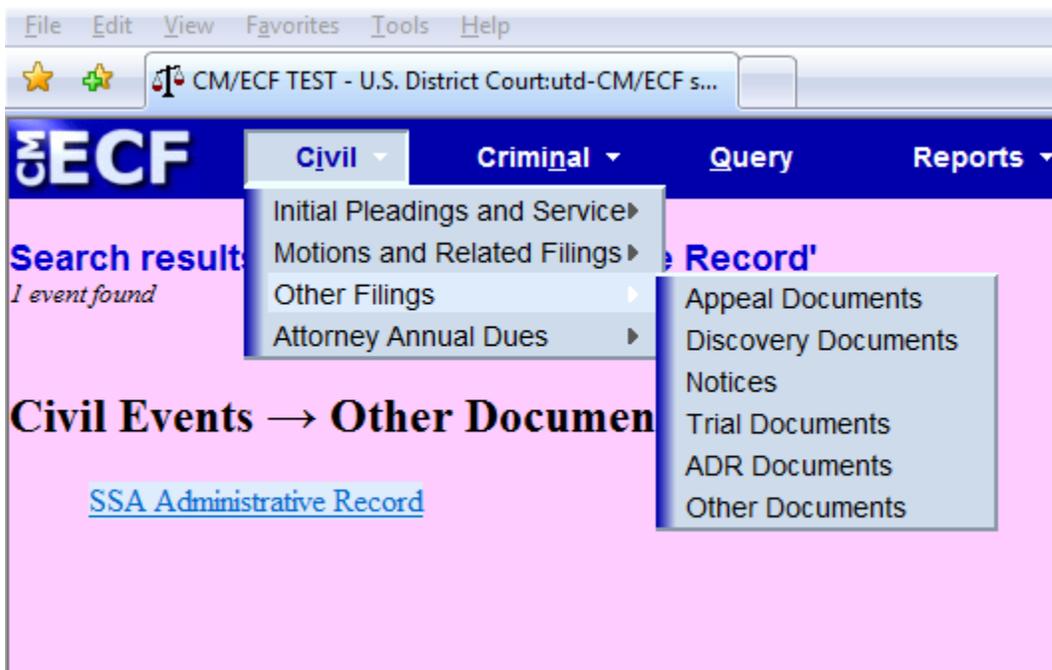
So select that menu and you will get a drop down menu of choices of documents to file in CM/ECF:
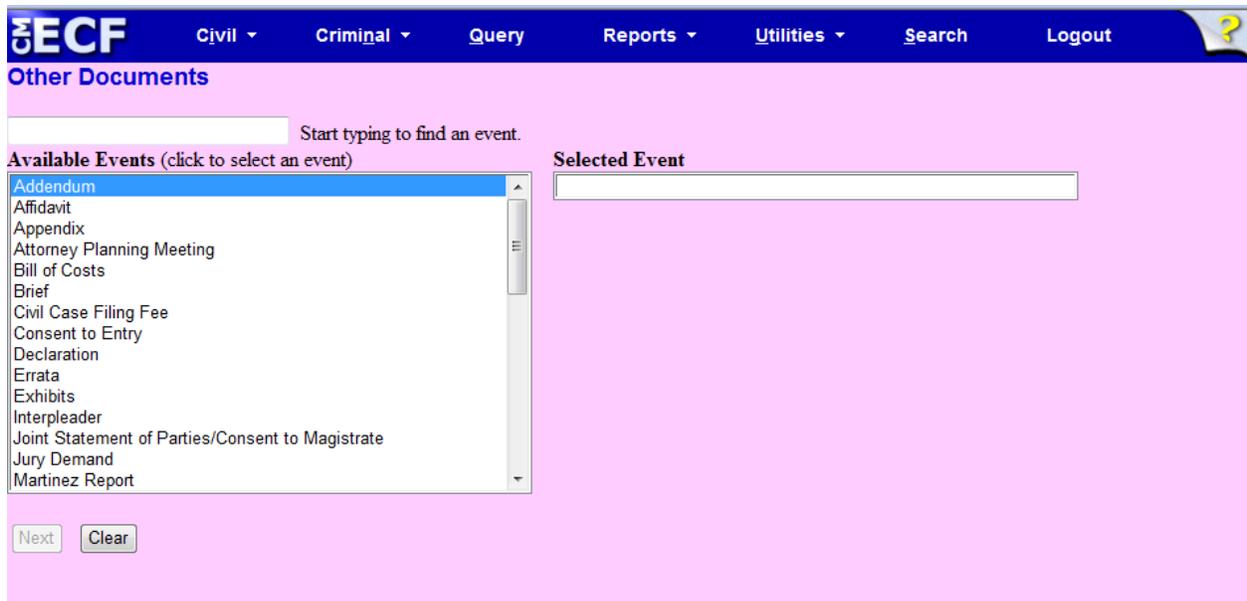
Scroll through the choices in the drop down menu until you find SSA Administrative Record (or the district appropriate name for the SSA eCAR event)
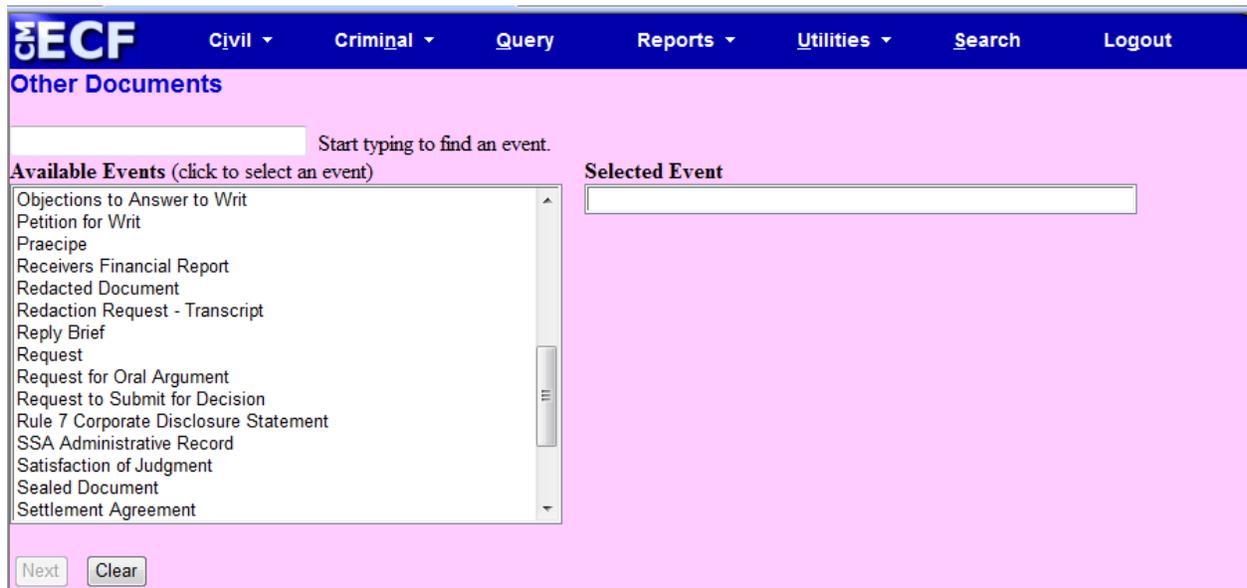
Select the event by clicking on it – it will populate the Selected Event text box to the right of the drop down menu:

CM ECF C̲ivil ▾   Crimi̲nal ▾   Query   Reports ▾   Utilities ▾   Search   Logout

Other Documents

Available Events (click to select an event)

Objections to Answer to Writ
Petition for Writ
Praecipe
Receivers Financial Report
Redacted Document
Redaction Request - Transcript
Reply Brief
Request
Request for Oral Argument
Request to Submit for Decision
Rule 7 Corporate Disclosure Statement
SSA Administrative Record
Satisfaction of Judgment
Sealed Document
Settlement Agreement

Selected Event

SSA Administrative Record

[Next] [Clear]

Click Next.

VI. Initiating the filing of the Administrative Record
a. Your Case Number

CM/ECF prompts you to enter your US District Court Case Number:
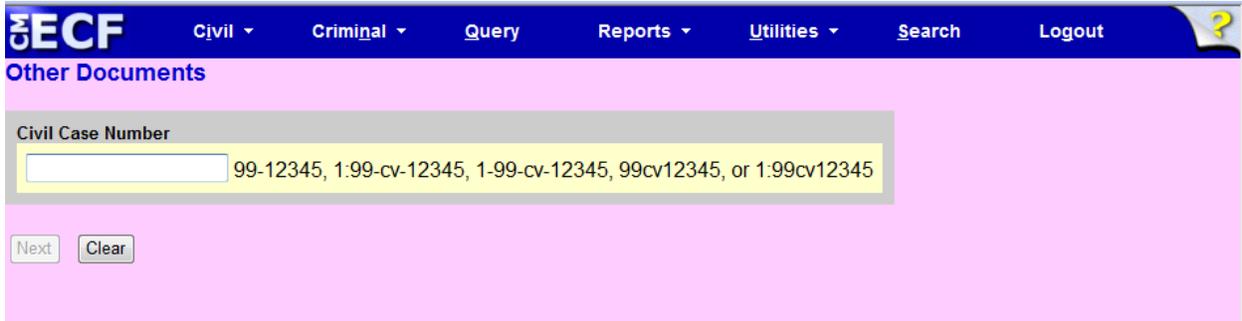
Enter your case number and click the Find This Case box:
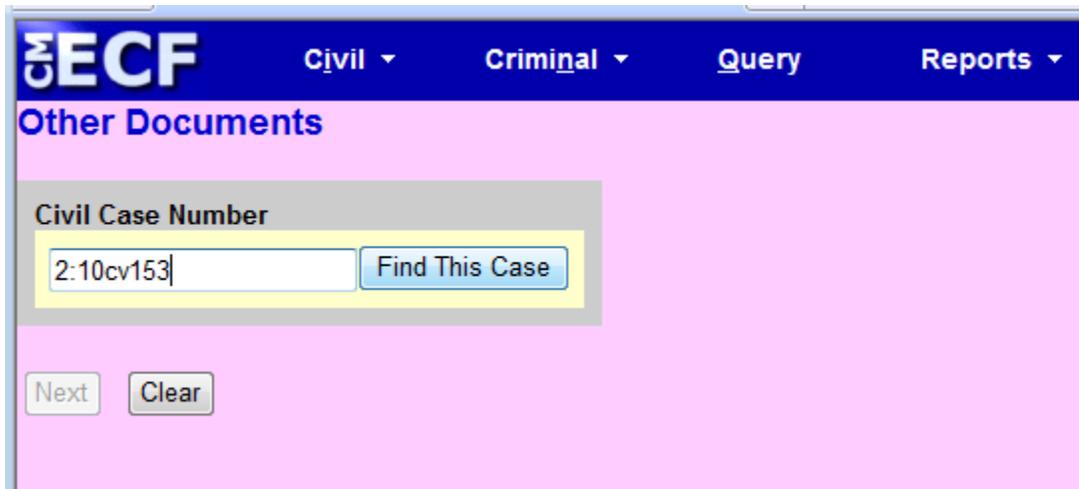
CM/ECF will search for and locate your case. This is the screen you will see when CM/ECF knows in which case you wish to file your documents. Click Next.
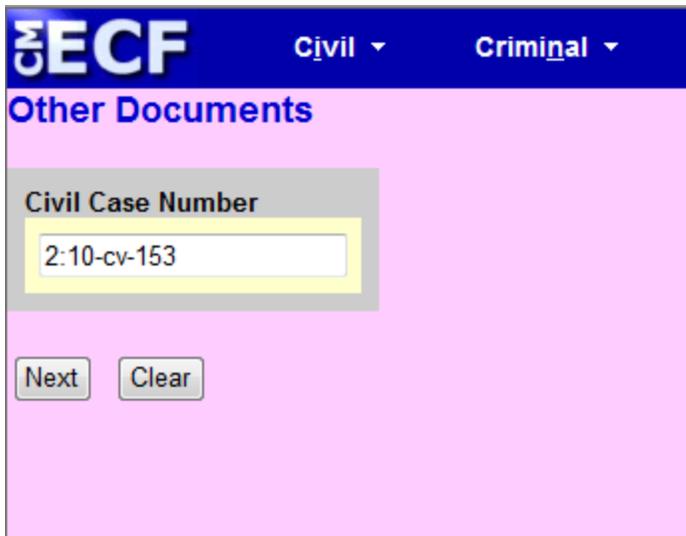
VI.b. Main Document

When you get the screen that shows you your case name underlined in blue – an active link – you are ready to begin filing in that case. Click Next.
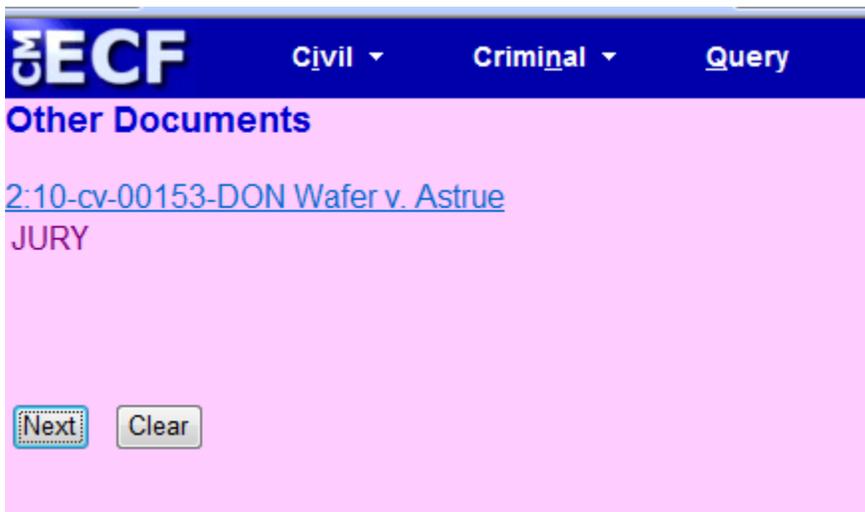
This is the screen from which you will begin attaching the eCAR:

From here you are going to click the browse button and browse to the drive where the eCAR has been saved in unencrypted form.

CMECF

Civil ▾　　Criminal ▾　　Query　　Reports ▾　　Utilities ▾

Other Documents

2:10-cv-00153-DON Wafer v. Astrue

JURY

Select the pdf document and any attachments.

Main Document

[   ] [Browse...]

Atta

Choose file

◄ ► ▼ ▸ Computer ▸　　　　▼ ↻ [Search   🔍]

Organize ▾　Views ▾　New Folder　　　　　　　⑦

Name	Type	Total Size	Free Space	

Hard Disk Drives (2)

(C:) Local Disk
45.4 GB free of 78.2 GB

(D:) Local Disk
69.1 GB free of 70.8 GB

Devices with Removable Storage (3)

(E:) DVD RW Drive - Phylla, Lucky

(F:) Removable Disk

(G:) HP v125w

Favorite Links
- Documents
- Desktop
- Recent Places
- Computer
- Pictures
- Music
- Recently Changed
- Searches
- Public

Folders ^

File name: [   ] ▼　All Files (*.*) ▼

[Open]　[Cancel]
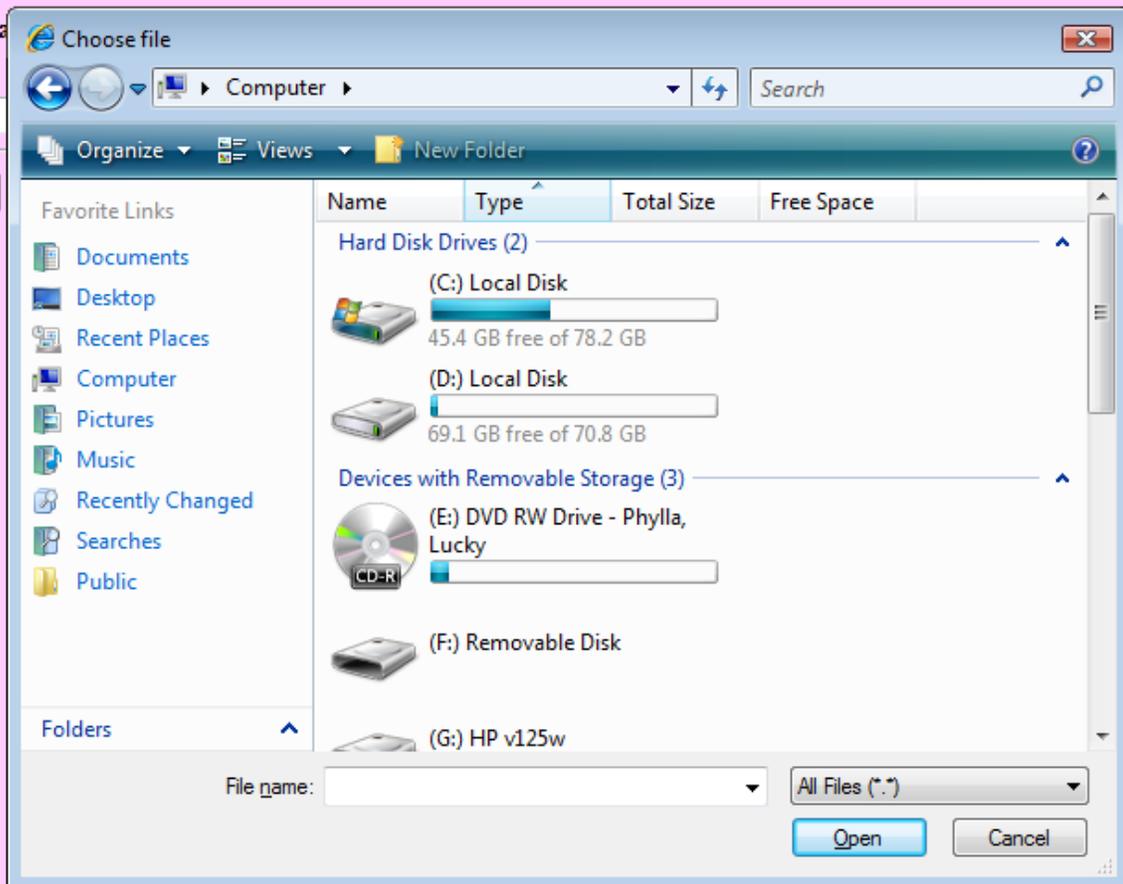
Click on the drive that contains the eCAR files:
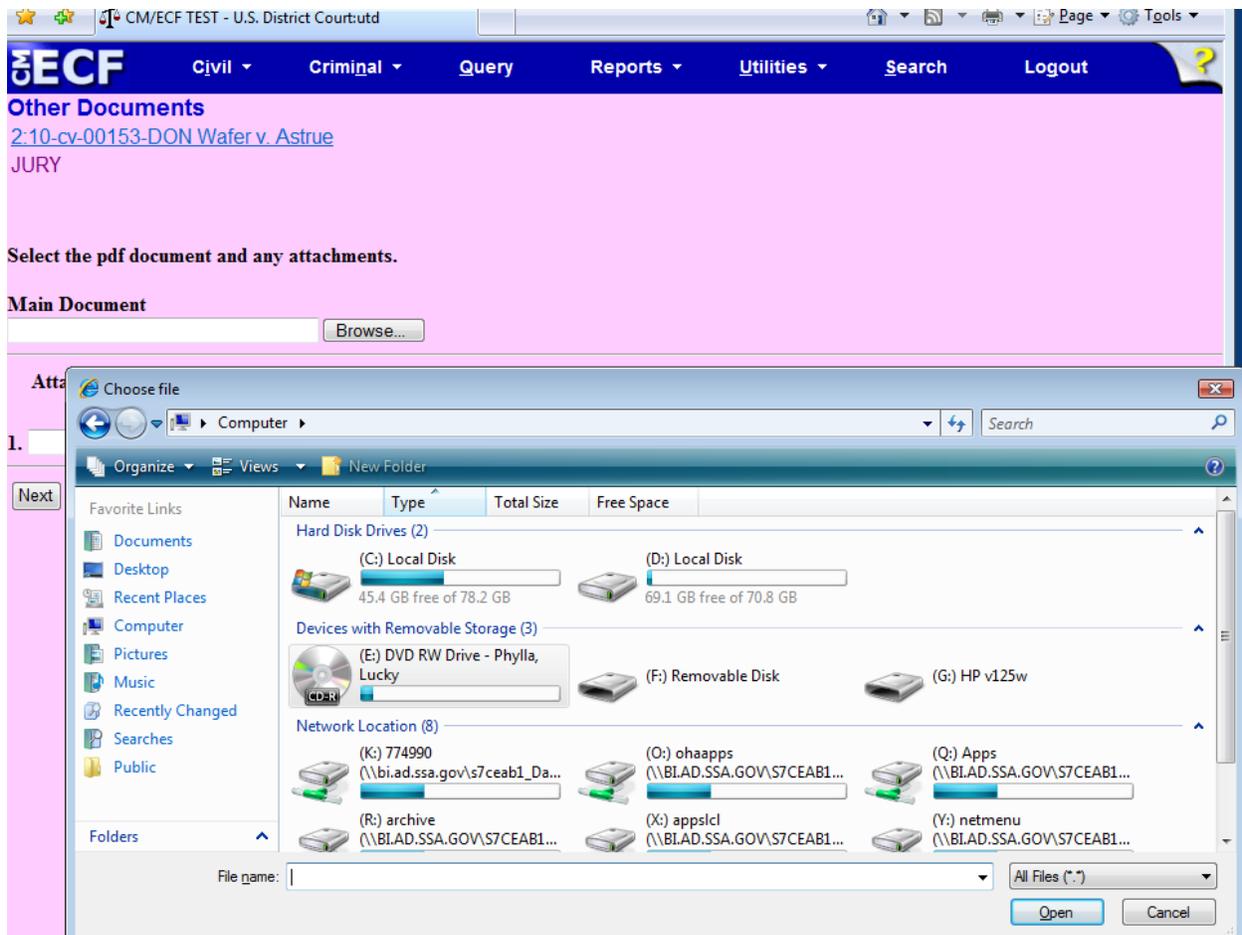
VII.   Attaching the 7 standard parts of the SSA Administrative Record

The eCAR has seven standard parts and the remainder of the files represents the medical evidence from the eCAR.

When you look at the eCAR files on your computer's drive, you will see that there is one very large file – labeled, "Complete Certified Administrative Record." In most districts, this file will be prohibitively large to load into CM/ECF. If the large file fits within the CM/ECF size limits, upload it as one part. In jurisdictions where attachment sizes require segmentation of the file, the large file is still important for the judge's courtesy copy disk. It is in this file that the Table of Contents links will work for the entire file.

As you upload these seven or more parts, keep the following filing guidelines in mind. Each district has different maximum sizes for attachments in CM/ECF. Ensure that your attachment falls within the allowable attachment size. A quick place to look for size limitations is on the front page of CM/ECF under the link named "Court Information." If the maximum PDF file size or maximum merge document

size changes for your district, please alert your contact at SSA so that future eCARs can be segmented according to new file size allowances.

Another element to keep in mind is timing out of CM/ECF. High-speed internet is required for most districts; use the fastest connection available to you.

There is a precise and particular order in which the partitioned files should be loaded into CM/ECF.

The first file you want to attach in CM/ECF is the <u>Certification Page</u>. So select 001 Certification Page and hit Open.
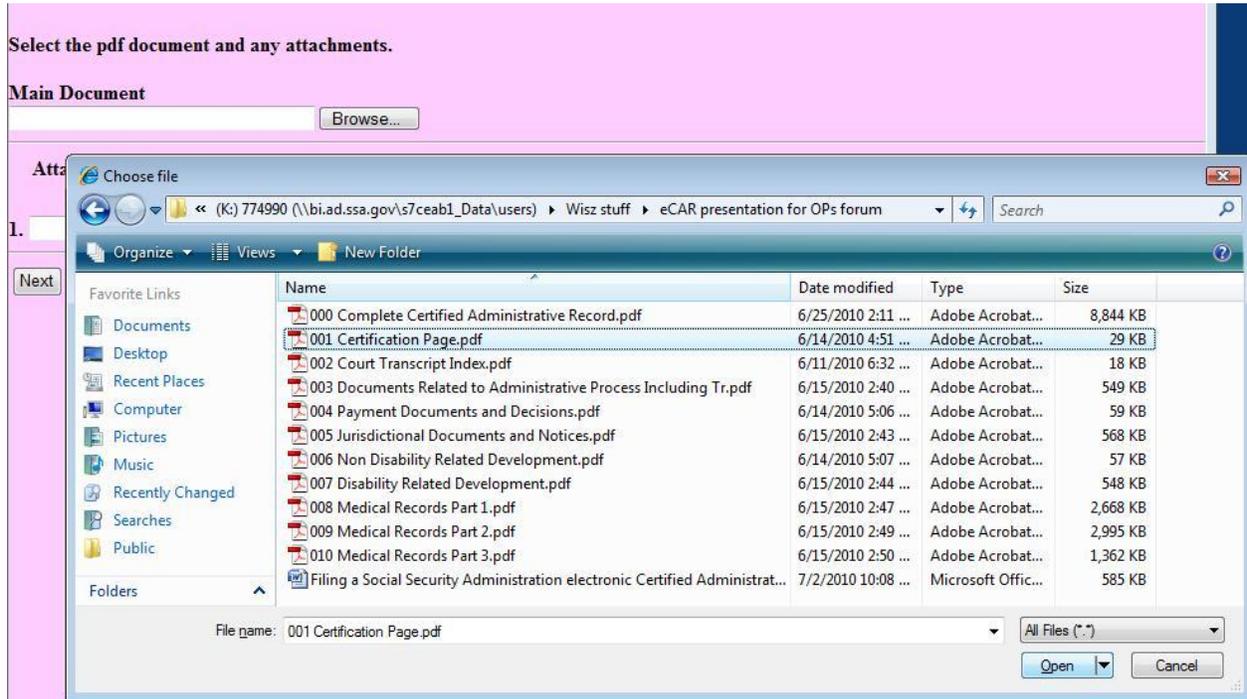
Once you select Open, CM/ECF loads the pdf into the system.

Next you are going to want to load the attachments in the proper order so that the docket reflects the eCAR in logical order:

Select the second browse box and browse to Court Transcript Index.

VIII.   Descriptions for each attachment

With the addition of this document to CM/ECF you will now also categorize the attachment and provide a description. It is here that you will make the docket text clear as to what is contained in each attachment.

Each district may have different categories in the drop down menu. Select a logical choice for the category, here either appendix or supplement would be correct. You may also elect to leave the field blank and not select a category name.

When you type the description of the attached document, ensure that the description is accurate and helpful. The name provided on the eCAR is a good guide, however, for some attachments you will want to add additional language, particularly for the attachment that contains the ALJ decision.

Attachments		Category	Description	
1. K:\Wisz stuff\eCAR presentation for OPs	Browse...	Appendix ▼	Court Transcript Index	Remove
2.	Browse...	▼		Remove
3.	Browse...	▼		

Next Clear

The remaining order of the attachments follows the numerical description file names in your eCAR. Specifically, file the attachments in the following order with the following descriptions:

002 Court Transcript Index
003 Documents Related to Administrative Process Including Transcript – your description should be entered as "ALJ decision and ODAR hearing transcript"
004 Payment Documents and Decisions
005 Jurisdictional Documents and Notices
006 Non Disability Related Development
007 Disability Related Development
008 Medical Records – part x of x

. . . And so on until all the medical evidence is entered

Other Documents
2:10-cv-00153-DON Wafer v. Astrue
JURY

Select the pdf document and any attachments.

Main Document
K:\Wisz stuff\eCAR presentation for OPs [Browse...]

Attachments		Category	Description	
1. K:\Wisz stuff\eCAR presentation for OPs	[Browse...]	Appendix ▾	Court Transcript Index	[Remove]
2. K:\Wisz stuff\eCAR presentation for OPs	[Browse...]	Appendix ▾	sion and ODAR hearing tra	[Remove]
3. K:\Wisz stuff\eCAR presentation for OPs	[Browse...]	Appendix ▾	Documents and Decisions	[Remove]
4. K:\Wisz stuff\eCAR presentation for OPs	[Browse...]	Appendix ▾	al Documents and Notices	[Remove]
5. K:\Wisz stuff\eCAR presentation for OPs	[Browse...]	Appendix ▾	bility Related Development	[Remove]
6. K:\Wisz stuff\eCAR presentation for OPs	[Browse...]	Appendix ▾	bility Related Development	[Remove]
7. K:\Wisz stuff\eCAR presentation for OPs	[Browse...]	Appendix ▾	Medical Records part 1	[Remove]
8. K:\Wisz stuff\eCAR presentation for OPs	[Browse...]	Appendix ▾	Medical Records part 2	[Remove]
9. K:\Wisz stuff\eCAR presentation for OPs	[Browse...]	Appendix ▾	Medical Records part 3	[Remove]
10.	[Browse...]	▾		

[Next] [Clear]

The system will ask you to select the filer.

Select Commissioner Astrue and click Next.

The system allows you to use a drop down box to modify the docket text. No need to modify this text – select next.

IX. Review your docket text

CM/ECF gives you one last chance to review your docket text and ensure it is correct.

X. Check you Notice of Electronic Filing (NEF)

If correct, click next and you get your Notice of Electronic Filing (NEF):

Other Documents
2:10-cv-00153-DON Wafer v. Astrue
JURY

Electronic Case Filing System [TEST]

District of Utah [TEST]

Notice of Electronic Filing

The following transaction was entered by Wisz, Katherine on 7/2/2010 at 10:37 AM MDT and filed on 7/2/2010
Case Name: Wafer v. Astrue
Case Number: 2:10-cv-00153-DON
Filer: Michael J. Astrue
Document Number: 5

Docket Text:
ADMINISTRATIVE RECORD received from Social Security Administration filed by Defendant Michael J. Astrue. (Attachments: # (1) Appendix Court Transcript Index, # (2) Appendix ALJ decision and ODAR hearing transcript, # (3) Appendix Payment Documents and Decisions, # (4) Appendix Jurisdictional Documents and Notices, # (5) Appendix Non Disability Related Development, # (6) Appendix Disability Related Development, # (7) Appendix Medical Records part 1, # (8) Appendix Medical Records part 2, # (9) Appendix Medical Records part 3)(Wisz, Katherine)

2:10-cv-00153-DON Notice has been electronically mailed to:

Katherine D. Wisz   katherine.d.wisz@ssa.gov

Sam Beckett   ruth_schriock@utd.uscourts.gov

2:10-cv-00153-DON Notice has been delivered by other means to:

The following document(s) are associated with this transaction:

Document description: Main Document
Original filename: n/a
Electronic document Stamp:

When you check your email box and go to see your free look from the NEF generated by your filing, you will see that the docket text looks like such:

| 07/02/2010 | 5 | ADMINISTRATIVE RECORD received from Social Security Administration filed by Defendant Michael J. Astrue. (Attachments: # 1 Appendix Court Transcript Index, # 2 Appendix ALJ decision and ODAR hearing transcript, # 3 Appendix Payment Documents and Decisions, # 4 Appendix Jurisdictional Documents and Notices, # 5 Appendix Non Disability Related Development, # 6 Appendix Disability Related Development, # 7 Appendix Medical Records part 1, # 8 Appendix Medical Records part 2, # 9 Appendix Medical Records part 3)(Wisz, Katherine) (Entered: 07/02/2010) |

Here, then you have one docket entry that has all of the eCAR easily accessible.

XI. Alternative Docketing Methods

Some CM/ECF systems may restrict the number of attachments you put on your first docket entry. In those instances, docket the Administrative Record and as many attachments as permissible, and then docket an Addendum and relate it to the Administrative Record on the docket.

Click next and you get an opportunity to modify the text of the docket entry.

Click next.

CM/ECF Civil ▾ Crimi**n**al ▾ **Q**uery **Reports** ▾ **Utilities** ▾ **Search** **Logout**

Other Documents
2:10-cv-00153-DON Wafer v. Astrue
JURY

Docket Text: Final Text

ADMINISTRATIVE RECORD received from Social Security Administration filed by Defendant Michael J. Astrue. (Wisz, Katherine)

Attention!! Pressing the NEXT button on this screen commits this transaction. You will have no further opportunity to modify this transaction if you continue.
Have you redacted?

Source Document Path (for confirmation only):
K:\Wisz stuff\eCAR presentation for OPs forum\001 Certification Page.pdf   pages: 1

[Next] [Clear]

Here is the last chance to modify the text by going back, or committing to the filing. Click next.

CM/ECF Civil ▾ Crimi**n**al ▾ **Q**uery **Reports** ▾ **Utilities** ▾ **Search** **Logout**

Other Documents
2:10-cv-00153-DON Wafer v. Astrue
JURY

Electronic Case Filing System [TEST]

District of Utah [TEST]

Notice of Electronic Filing

The following transaction was entered by Wisz, Katherine on 7/2/2010 at 9:48 AM MDT and filed on 7/2/2010
Case Name: Wafer v. Astrue
Case Number: 2:10-cv-00153-DON
Filer: Michael J. Astrue
Document Number: 3

Docket Text:
ADMINISTRATIVE RECORD received from Social Security Administration filed by Defendant Michael J. Astrue. (Wisz, Katherine)

2:10-cv-00153-DON Notice has been electronically mailed to:

Katherine D. Wisz   katherine.d.wisz@ssa.gov

Sam Beckett   ruth_schriock@utd.uscourts.gov

2:10-cv-00153-DON Notice has been delivered by other means to:

The following document(s) are associated with this transaction:

Document description: Main Document
Original filename:n/a

XI.a. Two docket entries

You receive your NEF for your administrative record filing, but you are not yet done. We still need to add the remainder of the Administrative Record.

Go back to the Civil menu

Select Other Documents

We've already docketed the Administrative Transcript so now we just need to docket the remainder of the exhibits that make up the Administrative Transcript. From the drop down menu you can select Addendum or Exhibits – either would be correct.

Select Addendum – it populates to the Selected Event field.

Click Next. The system knows what case you last filed in and that case number appears.

Since we will file the whole Administrative Record in one docketing session, we know this is the correct case number. Click next.

Confirmation that we are ready to file in the case is given by the screen with the blue line under the case number:

Click next.

Now you are ready to load the remainder of the Administrative Record. We left off with file 004 Payment Documents. So we will begin here with file 005 Jurisdictional Documents and Notices and add all of the remaining files in numerical order. Be sure and label the description as it is labeled in the eCAR.

Click next. This is a large amount of data for the system to load. Be patient while it loads, it may take some time.

The system will ask you to select the filer. Select Astrue and click next.

XI.b. Relating docket entries

Since we picked Addendum as our Docket Entry, the system wants to know if we want to relate these filings to another document already filed in CM/ECF. We want to do that.

Select document this is related to.

☑ **Should the document you are filing link to another document in this case?**

Filed 7/2/2010 **to** 07/02/2010

Documents [   ] **to** [   ]

[Next] [Clear]

Select the box to link documents and put in date you filed the main Administrative Record. Click next.

Other Documents
2:10-cv-00153-DON Wafer v. Astrue
JURY

Select the appropriate event(s) to which your event relates:

☑ 07/02/2010 3 ADMINISTRATIVE RECORD received from Social Security Administration filed by Defendant Michael J. Astrue. (Wisz, Katherine)

[Next] [Clear]

The system returns a list of documents to which you can link/relate these filings. Click next.

Now the system gives you an opportunity to modify the docket text for the addendum. No modification is needed. Click next.

This screen represents your last chance to proofread and start over or commit to filing these documents. Click next.

Other Documents
2:10-cv-00153-DON Wafer v. Astrue
JURY

Electronic Case Filing System [TEST]

District of Utah [TEST]

Notice of Electronic Filing

The following transaction was entered by Wisz, Katherine on 7/2/2010 at 10:19 AM MDT and filed on 7/2/2010

Case Name:	Wafer v. Astrue
Case Number:	2:10-cv-00153-DON
Filer:	Michael J. Astrue
Document Number:	4

Docket Text:
ADDENDUM to [3] SSA Administrative Record filed by Defendant Michael J. Astrue. (Attachments: # (1) Appendix Non Disability Related Documents, # (2) Appendix Disability Related Documents, # (3) Appendix Medical Records Part 1, # (4) Appendix Medical Records Part 2, # (5) Appendix Medical Records Part 3)(Wisz, Katherine)

2:10-cv-00153-DON Notice has been electronically mailed to:

Katherine D. Wisz   katherine.d.wisz@ssa.gov

Sam Beckett   ruth_schriock@utd.uscourts.gov

2:10-cv-00153-DON Notice has been delivered by other means to:

The following document(s) are associated with this transaction:

Document description: Main Document

NEF for addendum.

Now you can log out and check your email box for your NEFs and the free look you get with those.

When you log in to take your free look, the docket text appears as follows.

07/02/2010	3	ADMINISTRATIVE RECORD received from Social Security Administration filed by Defendant Michael J. Astrue. (Wisz, Katherine) (Entered: 07/02/2010)
07/02/2010	4	ADDENDUM to 3 SSA Administrative Record filed by Defendant Michael J. Astrue. (Attachments: # 1 Appendix Non Disability Related Documents, # 2 Appendix Disability Related Documents, # 3 Appendix Medical Records Part 1, # 4 Appendix Medical Records Part 2, # 5 Appendix Medical Records Part 3)(Wisz, Katherine) (Entered: 07/02/2010)

Social Security Administrative Record Filing Practices   **Total 94 districts**

Require Paper
Courtesy Copy
(17 Districts)

Don't Require Paper
Courtesy Copy
(30 2/3 Districts)

E-FILING AVAILABLE - OPTIONAL OR REQUIRED
(47 2/3 DISTRICTS)

E-FILING MANDATORY
(14 DISTRICTS)

E-FILING OPTIONAL
(33 2/3 DISTRICTS)

NEVER ALLOW E-FILING
(46 1/3 DISTRICTS)

(Courtesy Copy data not compiled for
districts not permitting e-filing)

Compiled from March 2010 Data