

LIONS User Manual

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Executive Office for United States Attorneys (EOUSA)

Case Management Staff

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CHANGE HISTORY

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1.0 INTRODUCTION

The Legal Information Office Network System (LIONS) is a case management system that runs with Oracle as the database management software. LIONS is a multi-user database system that allows many users to do data entry, execute reports, and run queries at the same time.

LIONS allows individual districts to maintain information on pending workloads on the database and to produce a variety of reports based on that information. Offices enter information throughout the month using their personal computer systems, and produce reports locally as needed based on the most up-to-date information.

The detailed procedures in this manual are necessary for the correct operation of LIONS and must be strictly adhered to. Any deviation must be approved by the Case Management Staff of the Executive Office for United States Attorneys (EOUSA).

1.1. Functions

LIONS provides a number of important functions:

It allows offices to meet their obligations for notifying victims and witnesses and producing required reports related to that function.

It allows offices to create caseload calendars for individual employees, as well as units in the office.

The reports produced allow the United States Attorney and other supervisors to monitor the office's workload, to make case assignments, and to respond to ad hoc inquiries from the Department of Justice or the local community.

It is used by the Executive Office for United States Attorneys (EOUSA) to respond to numerous requests for statistical information from the Office of Management and Budget, Congress, and the public, and to produce management reports for use within the Department of Justice.

It provides the figures for the Attorney General's Annual Report and the United States Attorneys' Annual Statistical Report.

It provides the information submitted to the Department's Case Management System, which is maintained for the use of Department policy makers by the Justice Management Division.

It is used to formulate budget estimates, to justify budget requests, and to allocate resources, including personnel, among the various districts.

1.2. System Components

LIONS consists of these six modules:

The Civil Case Tracking System - This module tracks immediate declinations and litigation of civil matters, cases, and appeals.

Note: Immediate declinations of civil matters, cases, and appeals are currently not being used.

The Criminal Case Tracking System - This module tracks immediate declinations and litigation in criminal matters, cases, and appeals.

Victim/Witness - Although this module is still available in LIONS, this function has been replaced by the VNS system.

Federal Records Center- This module tracks records sent to the Federal Records Center (FRC). It includes the accession number and location of files that have been shipped to the FRC.

Document Generation - This module is used to create and to generate standard letters and other documents based on information entered in LIONS.

Administration - This module is used by the System Manager to maintain codes and LIONS security.

1.3. Quality Control

Quality control with regard to data entry is not a simple matter. There is no single document or procedure that will provide all the information necessary to evaluate the information being entered. Knowledgeable personnel (such as supervisory attorneys or lead legal clerks) should review reports to ensure that the district's data is being reported correctly and that the office is receiving the appropriate credit for the work that is being done.

Case Management personnel are always available to assist you with any inquiries you may have about the district's caseload. It is of the greatest importance that your caseload information be reported promptly and accurately. If it is not kept up-to-date, EOUSA will not have the information necessary to give proper consideration to the district's requests for additional manpower and resources.

Error Edits/Lists. One of the most important features of LIONS is the existence of "on-line" error edits. The operator cannot enter invalid codes or dates, and the programs do not allow a required field to be skipped.

FY () Year to Date Caseload Statistics. A report is produced monthly based on an extract received by EOUSA from the central LIONS database. This report indicates the number of records that are opened and closed during the fiscal year. It also provides specific information about the overall disposition of civil and criminal cases in a district. For example, it indicates the number of cases which were resolved by jury trial in a fiscal year.

Information Available In-house. A variety of reports are available locally to monitor workload, supervise attorney caseloads, respond to ad hoc inquiries, etc. Examples of reports which are available are Workload Reports. These reports can be used to determine the quality of information in your database and should be reviewed by recipients to ensure that the information reflected on the reports is correct.

1.4. Responsibilities

Attorneys and support personnel play an important role in maintaining the integrity of LIONS. Based on local procedures, they are responsible for entering information in an accurate and timely fashion.

The **System Manager** plays a key role by maintaining LIONS. The System Manager assumes a number of responsibilities related to the operation of desktop computers, laptops, network, Oracle and LIONS. This includes:

- Testing all of the personal computers upon network installation to ensure they are operational;
- Testing the database server after loading all system software to ensure error free operation;
- Making periodic software updates sent out by the Case Management Staff, distributing changes to manuals, troubleshooting program problems, and ensuring that system changes are implemented by the district;
- Ensuring the integrity of the databases. Resolving processing failures and notifying the Case Management Staff if the problem appears to be related to the LIONS programs;
- Serving as the district contact point with Case Management for the LIONS system. Immediately upon receipt, distributing error lists and other reports from EOUSA;
- Establishing and maintaining user security, including passwords and profiles. Users *must* be inactivated in LIONS when they leave the office;
- Ensuring that Oracle applications are backed up on a regular basis and that backups are stored off-site. Procedures are detailed in the System Manager's Guide;
- Providing training to users on computer security and LIONS; and
- Maintaining local code tables in LIONS. Submitting global code changes to TechOne for Case Management Staff (CMS) approval.

The **Administrative Officer and Supervisory Attorneys** are responsible for ensuring that necessary resources are provided to operate LIONS and for monitoring the data in LIONS to ensure that it is current and accurate.

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2.0 GETTING STARTED IN LIONS

The Legal Information Office Network System (LIONS) is a case management system that runs in a client/server environment where the database (case-related information) resides on the Centralized server at the Network Operations Center (NOC), and the LIONS application is executed from the client/office automation network file system. The operating system on the server is Unix; the database management system is Oracle version 10g, using Oracle Forms 4.5 and 2.5 Reports. The LIONS application runs on PCs using Windows XP.

Multiple users can perform inquiries, run reports (e.g., calendars); and perform data entry concurrently.

2.1. LIONS Security

2.1.1. User Access

LIONS uses an Oracle-based security system to ensure that:

Only authorized personnel are allowed to log on to LIONS.

Users are allowed to access only the forms or screens to which they have been given access. If a user is not authorized to see a form, the option is “grayed out” on the menu.

Users are limited to the functions they can perform in a given screen. At the bottom of each screen, the authorized functions are listed:

- <S> Select or view the information on the screen
- <U> Update the information on the screen
- <I> Insert or add a new record
- <D> Delete a record

Users are allowed to see only the information on a case for which they have authorization.

Users are given access to reports they can generate.

Contact the System Manager if you do not have access to a screen or function which you think you should be able to use.

2.1.2. LIONS Password

Every user must have a unique LIONS user name. When the system is set up, each user will be given a standard password of LIONS123! or USA5DIST. **It must be changed immediately.** Upon the user's initial logon to the application, LIONS will force users to change their password. After the initial prompt, the following dialog window displays.



Figure 2-1. Change Password Prompt

Enter the new password and press **TAB** or **ENTER** to move to the next line. Re-enter the new password to confirm that you have typed it correctly. Then click the **Change Password** button.

Note: The password must conform to the rules listed in Appendix F of this manual.

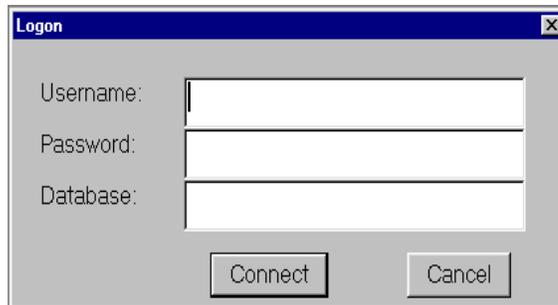
2.2. Starting LIONS

To start the LIONS application, double click the LIONS icon.



Figure 2-2. LIONS Icon

The Logon screen displays.



The Oracle Logon Screen is a dialog box with a blue title bar and a close button. It contains three text input fields labeled 'Username:', 'Password:', and 'Database:'. Below the fields are two buttons: 'Connect' and 'Cancel'.

Figure 2-3. Oracle Logon Screen

Enter your LIONS username, password and database, and then click **Connect**. Use the TAB key to move between fields. Once you are logged into LIONS, the LIONS Main Menu displays (see Figure 2-6).

The error message shown in Figure 2-4 appears if you enter an invalid Oracle username and/or password. Click **OK** or press ENTER to acknowledge the message and display the LIONS logon screen.

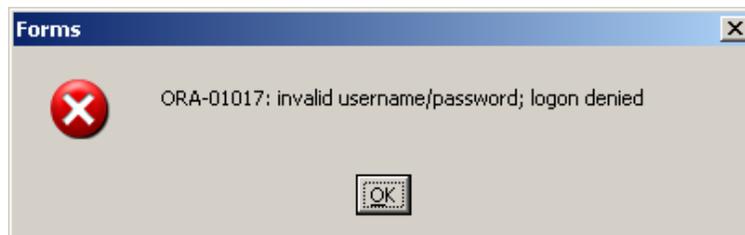


Figure 2-4. Invalid Username/Password Error Message

The error message shown in Figure 2-5 appears if you enter a valid username and password, but are not an authorized LIONS user. Click **OK** or press ENTER to acknowledge the message and display the EOUSA Distributed Oracle Applications program group. See your **Systems Manager** for assistance.



Figure 2-5. Unauthorized LIONS User Error Message

2.3. Components of the LIONS Main Menu

The following are components of this menu:

Title Bar - It contains the application name, window name, and program.

Menu Bar - It lists the LIONS options. When you access an option that contains additional options, a pull-down menu displays.

Control Menu Bar - It restores or closes the application.

Minimize/Maximize Button - Minimizes or maximizes the window.

Exit Button - Exits the current window.

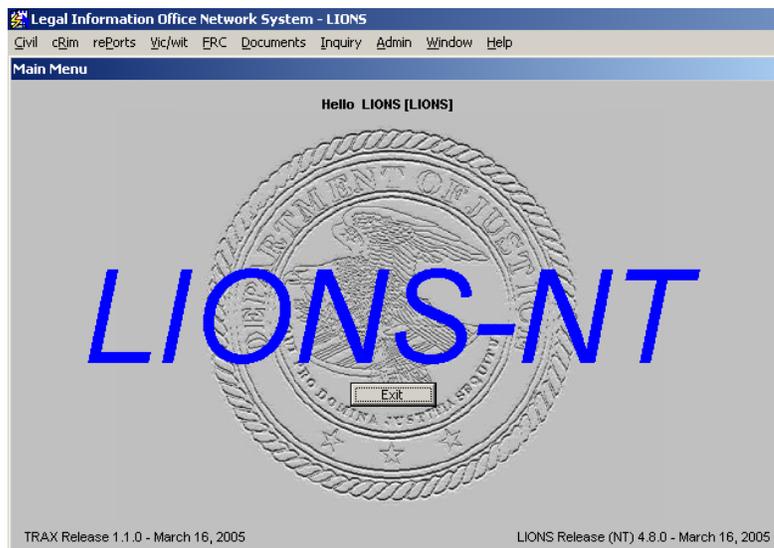


Figure 2-6. LIONS Main Menu

2.4. Selecting LIONS Options

To select an option on the Menu Bar, click the option, or hold down the **ALT** key and press the underlined letter. For example, to access the Criminal option you can press **ALT + R**.

When an option on a pull-down menu is followed by a right arrow , there is another pull-down menu for that option.

To access an item from a pull-down menu, click the item or press the underlined letter. For example, to access the Criminal Open (S)hort form press the letter **S**.

2.5. Overview of LIONS Menu Options

The following options are available on the LIONS Menu Bar. If a user is not authorized to use an option, it is "grayed out."

Civil. Contains the modules necessary to track all civil litigation and appellate work.

Criminal. Contains the modules necessary to track all criminal litigation and appellate work.

Reports. Contains most of the LIONS reports. Generally the reports require the user to enter 2-4 parameters. Reports can be viewed on the screen, sent to your default printer, or run in batch. When reports are printed on-line (to your default printer) you will not be able to continue working until the report has finished printing. It is recommended that large jobs be submitted using the Print Background (Batch) option. This will free up your personal computer.

Victim/Witness. This module is no longer used in LIONS. Victim notification is handled by the Victim Notification System (VNS) outside of LIONS.

FRC. Contains the modules necessary to track all information related to files being sent to or requested from the Federal Records Center. FRC reports are accessed through this module.

Documents. Allows users to generate standard forms and letters that require data from cases in LIONS to be inserted into them.

Inquiry. Allows users to locate files in LIONS when they don't know the system assigned USAOID. For example, users can find files by searching on a name or partial name.

Admin (Administration). This module is primarily used by the System Manager to maintain codes and security. It includes all forms to maintain look up codes, the change password option (available to all users), and reports related to the maintenance of LIONS.

2.6. Special Features in LIONS

The following are special features in LIONS.

Toolbar. Along the left side of the screen you will see icons. These are pictorial representations of functions that can be used in LIONS. You will notice as you call up various screens some of the icons may change. If a function does not apply to a particular block, the icon will not appear.

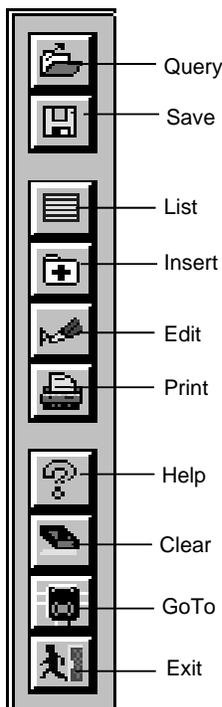


Figure 2-7. Toolbar

| | |
|---------------|------------------------------------------------------------------------------------------------------------------------------------------------------|
| Query | Used to query or search a case or record, cancel a query request, or count the number of records that have been queried. |
| Save | Allows you to save entered data and continue working on the screen. |
| List | Allows you to display a list of acceptable values for a field. |
| Insert | Allows you to insert (add) a record into the database. |
| Edit | Allows you to edit fields. |
| Print | Allows you to print the current screen. |
| Help | Allows you to see a list of available function keys, and also lets you view details about an error or assist with the use of a screen and/or fields. |
| Clear | Allows you to clear the data elements displayed on the screen. |
| GoTo | Allows you to call another form from the existing screen. To return to the original screen, press the Exit icon. |
| Exit | Allows you to save and exit the screen or cancel and exit the screen. |

Menu Bar. The menu bar on all LIONS screens has options that perform certain functions; e.g., **Action** allows you to GoTo, Save, Print, and Exit.

Message Line. All of the fields in LIONS contain a message about the field; e.g., in date fields the message will refer to the date format. If a field requires a code you will be prompted to press **F9** to view a list of values (LOV).

Date Formats. All dates in LIONS should be in the format: **DD-MON-YYYY**. For example, enter January 1, 2001 as **01-JAN-2001** or as **01 JAN 2001**. When typing the date, spaces can be entered in place of the dashes. Spaces will be converted to dashes when the date is saved. The month will default to upper case.

Field. A field is one element of information; e.g., Received Date.

Codes - All codes (with the exception of charges) will default to uppercase. To obtain a list of valid codes (LOV):

Press **F9**;

Double click in the field;

Press the LOV icon;

Click on the Help menu option and then click on the List of Values option; or

Refer to the appropriate code list in Appendix A of this manual.

Non-Code fields. All fields that do not require a predefined code can be entered in upper and lower case. They should be entered in mixed case (upper and lower) as they will appear on documents.

Record. A record is a group of fields related to one another; e.g., Case.

Block. A block contains one or more records of information.

List of Values (LOV). Fields that require a code will prompt you for an **LOV**. To access the list of codes valid for a particular field, press the **F9** function key, double click the **LOV** icon or double click in the field.

Find Value in LOV. If you are in a **LOV** and do not know the code, you can search for all codes that contain a word or string of words in the description. For example, in the LOV for Program Categories shown in Figure 2-8, we searched for all codes with the word "Fraud" in the description. To perform this type of search, place your cursor after the % sign in the Find box, type the word or string of words followed by another % sign (for example, %**fraud%**), and press the ENTER key.

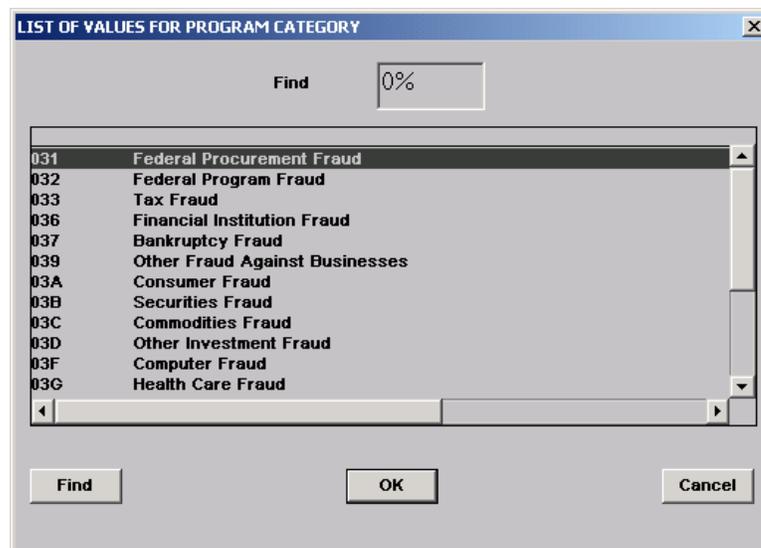


Figure 2-8. LOV Find Box

Check Boxes. This is an option field indicated with a .

On-line Edits. LIONS contains edits that will help to ensure the integrity of the data. It will prevent the user from entering incorrect data. For example, if you enter an incorrect code on a **LOV** field, LIONS will automatically check the value entered against the **LOV** table and send a message back to you if the code is not found in the **LOV** table. A sample of this error message is shown below.

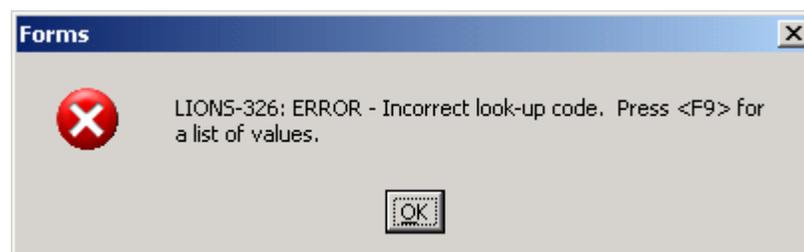


Figure 2-9. Edit Error Message

Preset Data. In some forms, LIONS will preset certain pieces of information. All preset data can be changed.

Name Search. LIONS provides a feature to search the database every time a user enters a participant name. To activate this feature, a flag must be set in the user's LIONS profile. The purpose of this feature is to alert the user that another case involving the participant already exists. To enable the search feature, contact your System Manager.

Automatic Creation of Records. There is a feature that allows the user to relate participants within a case to each other. For example, you may want to relate a defendant in a criminal case to a particular piece of property in the same case. When the user relates the defendant to the property, LIONS will automatically create a matching record linking the property back to the defendant.

This feature is also used when you want to relate different cases to each other. For example, you might have a criminal case that involves forfeitures and want to relate it to a companion civil forfeiture case. When the user creates the first Related Case record linking the criminal case to the civil case, LIONS creates the Related Case record linking the civil case back to the criminal case.

2.7. Navigation in LIONS

Moving from Field to Field

TAB or ENTER will move you forward through fields.

SHIFT + TAB will move you backward through fields.

Moving from Block to Block

CTRL + PAGE DOWN moves you down through blocks.

CTRL + PAGE UP moves you up through blocks.

Moving within a Block

There are three types of blocks in LIONS: basic, stacked and scroll.

Basic block - A basic block contains only one record of information. An example of this type of block Criminal in the Open Long Form for CASE is shown in the figure below.

Figure 2-10. Basic Block

Stacked block - A stacked block contains multiple records of information, but only one record can be viewed at a time. The DOWN ARROW key is used to access additional records, and the UP ARROW key to access the previous record. These blocks are distinguished by counters located in the upper-right corner of the block. An example of this type of block is found in the RELIEF form shown below.

LIONS - RELIEF - [cvrelief:2.0]
Action Edit Record Query Window Help

CASE
USAID: 2006Y00088 Caption: US v. Patricia Ann Franklin Status: A

RELIEF 1 OF 1
Type: M Monetary Stage: R Requested
Requested By: G Government Liability: I Individual
Amount: 35,899.83 Nonmonetary:
Agency: AGSF Rural Development Agency/Single Family Housing/SCS

PARTICIPANT RELIEF

| Role | Last Name, First Name | Disp | Disp Date |
|------|------------------------|------|-----------|
| D | Franklin, Patricia Ann | | |
| | | | |
| | | | |

FRI,04-AUG-2006 <S><U><I><D>

Figure 2-11. Stacked Block

- Scroll block** - A scroll block contains multiple records which are displayed in rows on the screen; and more than one record can be viewed at a time. The DOWN ARROW key is used to access the next record, and the UP ARROW key is used to access the previous record. These blocks are distinguished by scroll bars on the right side of the block. An example of this type of block is found in the PARTICIPANT form shown below.

The screenshot shows a software window titled "LIONS - PARTICIPANT INFORMATION - [gnpart:1.25]". The window has a menu bar with "Action", "Edit", "Record", "Query", "Window", and "Help". Below the menu bar, there are fields for "CASE USAOID: 2006V00088", "Caption: US v. Patricia Ann Franklin", and "Status: A". The main area is titled "PARTICIPANT" and contains a table with columns for "T", "Ro", "Def", "Name", "Di", "Reas", "Disp Date", "Di", "Reas", "Disp Date". The first row of the table is highlighted in blue and contains the name "Franklin, Patricia Ann". To the right of the table, there are two columns for "DISPOSITION (READ ONLY)", labeled "LOWER COURT" and "APPEAL COURT". At the bottom of the window, there is a date field showing "FRI,04-AUG-2006" and navigation buttons for "<S><U><D>" and arrow keys.

Figure 2-12. Scroll Block

Skipping Participant Blocks

In the participant set of blocks, all of the related participant blocks can be skipped at one time by clicking on the Previous/Next Page buttons  near the bottom of the screen.

Moving from Page to Page

After entering information in a multi-page form, you can move to the next page by pressing the TAB or ENTER key in the last field of the screen. If you are beyond the first page of information and wish to go back to the previous page, you can press SHIFT + TAB in the first field on that screen.

Clicking on the Previous Page button  takes the user back to the page before.

Clicking on the Next Page button  takes the user forward to the next page.

2.8. Function Keys

You can use function keys to perform various system functions or operations. The assignment of each function key and the use of these function keys is the same in all EOUSA Oracle applications.

To access a list of available function keys, click on **Help > Keys** on the Menu Bar. A small window appears with the function name and associated keys. Use the scroll bars to move through the list.

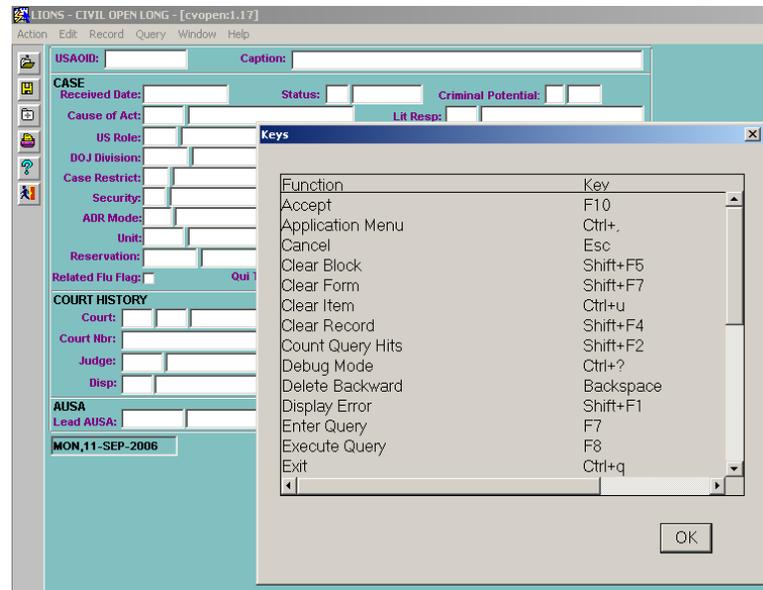


Figure 2-13. Function Keys

2.9. Case Summary

LIONS provides a form which the user can access all information about a matter or case. That screen is called Case Summary. To access this screen from either the Civil or Criminal pull-down menu, click on **Case Summary** or press the letter **C**.

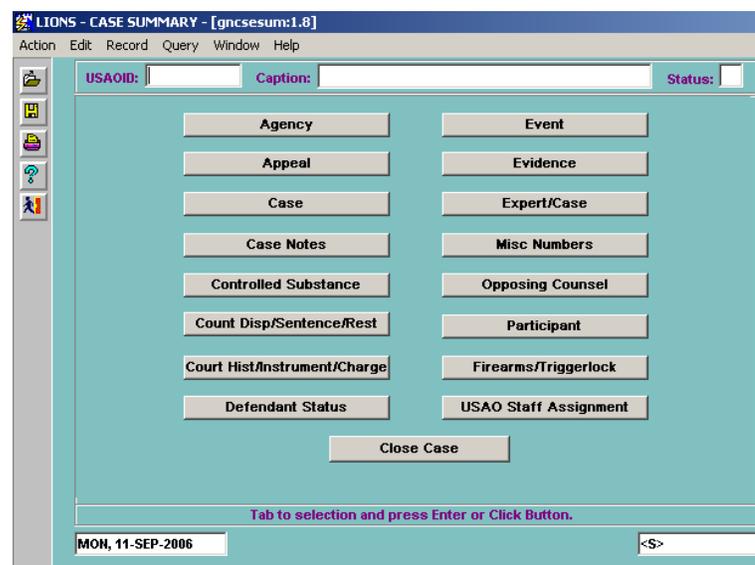


Figure 2-14. Case Summary

Enter a USAOID, or tab to the Caption field and enter the defendant or litigant's name as it appears in your Case Caption, and press **F8**. If your security permissions do not allow you to access a form, the box next to the option will be shaded out.

There are two ways to access records from the Case Summary screen.

Press **CTRL + PAGE DOWN** to move from the USAOID block to the Records block. In the Records block, use the down arrow, **TAB**, or **ENTER** keys to navigate to the form you want (Agency, for example), and then double click in the record box, or press **F3**.

Double click directly on the record you want (Agency, for example).

From the Case Summary screen you will select the form which contains the records you want to view, update, insert, or delete. After you are through in the form you have selected, you must return to the Case Summary screen by clicking on the **Exit** icon located on the toolbar. Once you return to the Case Summary screen, you can access other records for the matter or case by following the directions noted above.

2.10. Inquiry

The Inquiry module in LIONS gives users the ability to find cases when they don't know the system-assigned USAOID. There are four types of inquiries available:

USAO Staff Assignment. Users can search for matters or cases by staff initials or staff initials and position.

Case Search. Users can search for matters or cases based on a variety of numbers in LIONS associated with the matter or case; e.g., Agency File Number.

Scheduled Event. Users can search for matters or cases based on an event that has been scheduled. The search can be performed for all scheduled events, or only those associated with a staff member assigned to a matter or case in LIONS.

Participant Search. Users can search for files based on all or part of a participant's name or number that is identified with a participant; e.g., Social Security Number.

All of the search screens provide a GoTo function. When the user highlights a matter/case and presses **F3**, LIONS brings up the Case Summary Screen for that matter/case. See Figure 2-15 below.

2.10.1. The USAO Staff Assignment Search

In LIONS you can search for a matter or case based on the staff assignment. Your selection criteria are staff initials, staff initials and position, and only open cases.

The screenshot shows a software window titled "LIONS - ASSIGNMENT SEARCH - [gnassrch:1.1]". The window contains a menu bar with "Action", "Edit", "Record", "Query", "Window", and "Help". Below the menu bar is a toolbar with several icons. The main area of the window is a search form. It has two input fields: "Initials:" and "Position:". Below these is a checkbox labeled "Do you want to query only open cases?". The central part of the window is a table with the following columns: USAOID, Caption, Stat, Prog, Cause, Act, Pos, Court, Court #, and Agency. The table is currently empty. At the bottom of the window, there is a status bar that displays "MON, 11-SEP-2006" and "<S>".

Figure 2-15. Staff Assignment Search

Initials. Enter the initials for a particular staff member. (LOV)

Position. If you want to search for staff member's files based on his or her position in the matter/case, (e.g., Lead, Co-counsel), enter the appropriate Position code. If you want to search for all of a staff member's files, regardless of his or her position in the matter/case, leave this field blank. (LOV)

Do you want to query only open cases? A "Yes" in response to this question will query only open cases. If you want to see all matters and cases for a staff member regardless of whether they are open or closed, ignore this question.

Execute. To execute query, select eXecute from the Query menu.

LIONS will list all the matters/cases for the staff member where the End Date in the Assignment Record is blank, i.e., staff member is still working on the case.

2.10.2. Case Search

You can search for cases based on the Agency File Number, Court Number, DOJ Division Number, DCMNS Number, or an FRC Number or Grand Jury.

It is not necessary to enter an entire number for LIONS to locate a record. For example, if you know that part of the Court Number has a particular sequence of numbers in it, you can put a percent sign (%) around the sequence. For example, %123%. In this search, LIONS will return all pending records that have a Court Number with a 123 in it (% is a wildcard).

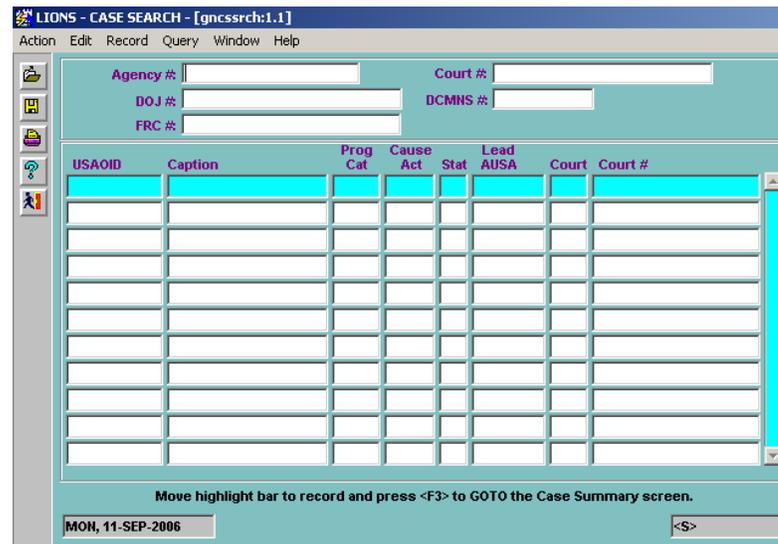


Figure 2-16. Case Search

2.10.3. Scheduled Event Search

Using this screen, you can search for:

All scheduled events for a particular staff member for a specific period of time; e.g., everything scheduled for next week for AUSA Jones.

All events scheduled for a specific period of time for all staff members.

All events scheduled for a particular staff member.

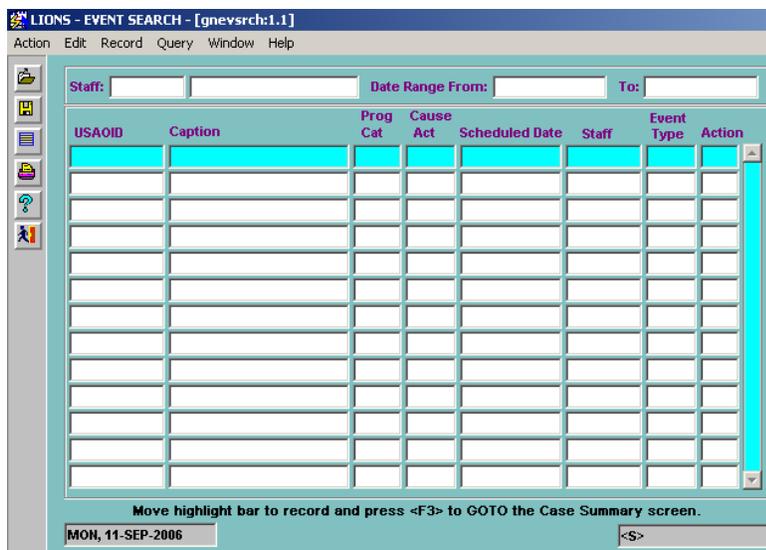


Figure 2-17. Scheduled Event Search

Once you have entered your selection criteria, LIONS will return all matters/cases where the scheduled event falls within a date range and the event date field is blank.

2.10.4. Participant Search

You can search for files by participant name or a participant-related number; e.g., Social Security Number, Marshal's Number. The broader you are in your search, the more likely you are to find your matter/case. If you enter just a last name the LIONS will bring back more matters/cases to the screen than if you entered a last and first name.

LIONS does a "soundex" search on the name field; i.e., it searches for similar vowel sounds. If you search for Smith, LIONS will respond with Smith as well as Smithe, Smythe, Schmidt, etc.

When you search for a participant using one of the number fields on the screen shown below, keep in mind that you do not need to enter the entire number. In LIONS, the percent symbol (%) acts as a wildcard. For example, if you know that a participant's Social Security Number has 483 in it, but you aren't sure of the rest of the number, enter %483% in the SSN field. LIONS will return all matters/cases where 483 appears in the Social Security Number.

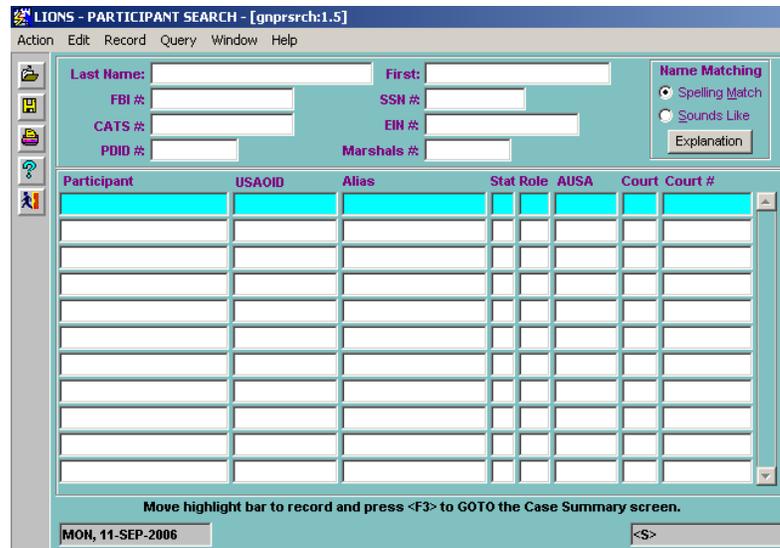


Figure 2-18. Participant Search

2.11. Producing Reports

When a report is requested, a menu with options is displayed.

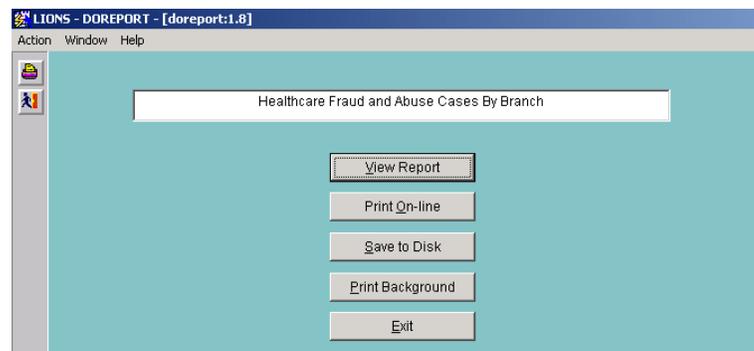


Figure 2-19. Report Generation Options

Click the **View Report** button or press **V + ENTER** to view the report on your computer.

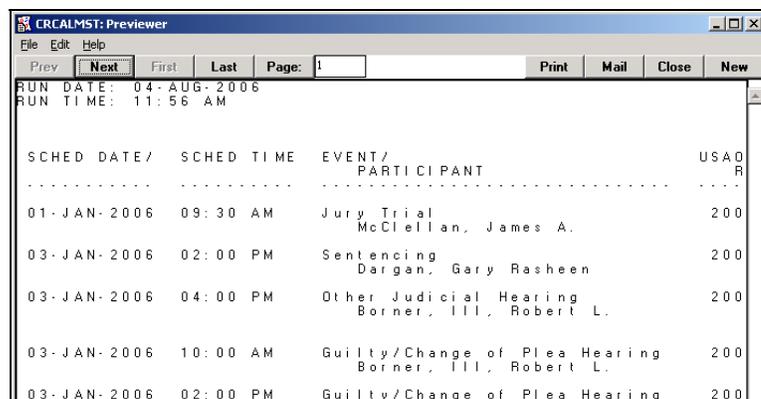


Figure 2-20. View Report On-line

When viewing a report on-line, use the scroll bar on the right to move up and down in the current page; use the scroll bar on the bottom of the page to move from left to right. The buttons to control page functionality are located at the top of the screen.

Click the Next button to move to the next page of a report. To move to the previous page, click the Prev button.

Click the First button to move to the first page of a report. To move to the last page, click the Last button.

Enter a page number and click the Page button to move to the specified page of a report.

To exit the report screen, click the Close button.

The Print button on the View Option Screen should *NOT* be used because it does not format the report correctly. Use one of the print options described below.

Click the **Print On-line** button or press **O + ENTER** to print on-line.

Click the **Save to Disk** button or press **S + ENTER** to save the report to a file. The report file is saved to your computer in the directory C:\RPT.

Click the **Print Background** button or press **P + ENTER** to generate the report. The report will automatically print to your Windows assigned printer when it completes.

2.12. Save and Exit the Form

There are two ways to exit the form and display the Save Option dialog shown in Figure 2-21:

Click on the **Exit** icon on the toolbar.

Click on the **Action** menu option, and then click on **Exit**.

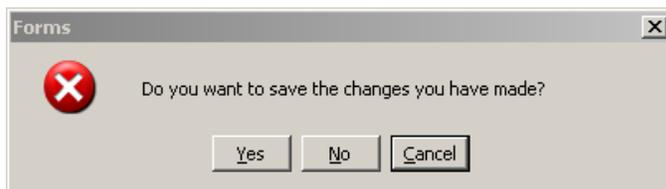


Figure 2-21. Save Option Dialog

Click **Yes** on the Save Option dialog to save the changes you have made.

Note: Select **Cancel** to remain in the form and continue with data entry.

2.13. Save and Continue in the Form

There are several ways to save changes you have made and continue in the form with another case:

Move to the USAOID block and Press **F7** to query a new case, and then answer **Yes** to the prompt.

Press **F10** anywhere in the form.

Click on the **Save** icon on the toolbar anywhere in the form.

Click on the **Action** menu item, and then click on **Save**.

2.14. Exit Without Saving Changes

There are two ways to exit the form and display the Save Option dialog shown in Figure 2-21:

Click on the **Exit** icon on the toolbar.

Click on the **Action** menu option, and then click on **Exit**.

Click **No** on the Save Option dialog to exit the form without saving the changes you have made.

Note: Select **Cancel** to remain in the form and continue with data entry.

2.15. Logging Out of LIONS

To log out of LIONS go back to the Main Menu and then click on **Exit**. The LIONS Exit dialog shown in Figure 2-22 displays. Click **OK** to exit LIONS.

Note: Select **Cancel** to remain in the form and continue with data entry.

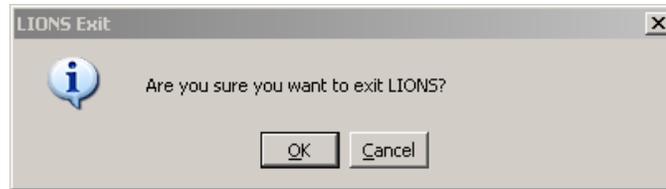


Figure 2-22. LIONS Exit Dialog

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3.0 CIVIL INITIATION

Civil actions can be managed through the LIONS system using a series of forms which collect detailed information concerning the following:

Case - Provides an overview of the status of the civil action. It includes information about the cause of action, the latest court information, related cases, and notes.

Court History - For each court filing, a new Court History record is opened which tracks the court and its location, as well as the Judges associated with the civil action. It can also tie information together concerning the attorneys and parties associated with each court stage. Prior to any filing, a "not in court" record is opened.

USAO Staff Assignment - You can track the names of AUSAs and other employees assigned to a civil action. At a minimum, you must track the Lead Attorney. You can track additional attorneys, paralegals, etc. Within your district, you can establish position definitions.

Agency - Information on the agencies associated with the civil action. Normally, this is the client agency. At a minimum, one client agency must be entered for each civil action.

Participant - Information about the litigants in a civil action, as well as victims, and other related parties is maintained. At a minimum, the lead litigant's name must be entered. In addition, you can enter certain demographic information, as well as addresses and phone numbers in order to generate standard documents.

Opposing Counsel - The opposing counsel at each stage of a civil action can be tracked.

Relief - You can track the history of relief in a civil action, from estimated to final judgment.

Event - Offices can track information about the status of the civil action, as well as create a calendar and generate standard documents through the event record. Events are tied to court stages and to specific parties.

Related Cases - LIONS allows you to relate one civil action to another.

Case Notes - You can record information about the civil action. This form was designed for the use of AUSAs who want to maintain a summary of the civil action.

Experts - You can track the names, specialties, addresses, and your comments about experts used in litigation by either the Government or opposing parties.

This chapter discusses how to open a civil case; Chapter 4 discusses updates. Samples of the forms used are provided. Information associated with Appeals is discussed in Chapter 8. If a field description includes (LOV), a list of code values is available on-line or in Appendix A.

Detailed coding procedures for the following types of civil cases and activities are included in Appendix E:

General

Reinstatements

Remands for New Trial

Civil

Social Security Disability Appeals

Foreclosures - U.S. Plaintiff

Foreclosures - U.S. Defendant

Habeas Corpus/2255s

Lands Cases

Asset Forfeiture

Bankruptcy

Nationwide Central Intake Facility (NCIF)

3.1. Civil Initiation Procedures

When a new civil file is received in the United States Attorney's office, a new civil action is opened. Within LIONS, you must initiate a civil record.

3.2. Definitions

The following are definitions.

Matter. A referral on which an attorney spends one hour or more of time and on which formal papers have not been filed with the Court.

Civil Action. A civil action begins with the assignment of any court number.

Appeals. Appeals are civil actions filed in the Court of Appeals or Supreme Court (either state or federal). "Appeals of administrative decisions" such as Social Security disability "appeals," or bankruptcy appeals to district court, are *NOT* appeals because they are filed in District Court. Refer to Chapter 8 for instructions on opening an appeal.

Complaint. A complaint is the initial pleading filed by the plaintiff in a civil action. It includes a statement of facts and the relief requested.

3.3. Immediate Declinations

Report an immediate civil declination for any requests for the following types of affirmative litigation:

When it is immediately declined and returned to the agency;

When it requires less than one hour of AUSA time;

When it is bankruptcy where the only action required is the filing of a proof of claim.

Immediate declinations of civil matters, cases, and appeals are currently not being used.

To initiate a Civil Immediate Declination, from the Main Menu click on **Civil** or press **ALT + C**. From the pull-down menu click on **Immediate Declination** or press the letter **I**.

USAOID - The USAO Number is generated by the LIONS system when a civil action is initiated. It is used to track the civil action throughout its life, including appeals.

Caption - Enter the reference name for the civil action, based on local office procedure (**HHS vs. John Williams**, for example). When you press **ENTER**, **TAB**, or click in the **Received Date**, LIONS automatically generates a USAOID number.

3.3.1. Case

The following are values to be entered for the Case screen.

Recvd Date (Received Date) - Enter the date the civil litigation was received in the office. LIONS will default to the current date; however, it can be changed.

Cause of Action - Enter the code that best describes the civil action. Example: **CO** (Commercial Litigation). Refer to Appendix A for detailed information regarding Cause of Action Codes. (LOV)

Branch - LIONS will default to the Branch of the person entering the information into LIONS. This code can be changed. (LOV)

DOJ Division - If this is a referral from the Central Intake Facility, enter **ZCIF**. (LOV)

DOJ Division Number - If this is a referral from the Central Intake Facility, enter the NCIF number.

3.3.2. Participant

Enter the following information for each participant in this civil action.

Type - Enter the code that best describes the participant. (LOV)

I Individual

B Business

P Property (either real property or property to be forfeited)

Role - Enter the role code that best describes the participant (D for Defendant, for example). (LOV)

Name - If the participant is an Individual, enter Last Name, First Name. If the defendant is a Business or a piece of Property, enter the Business or Property name.

3.3.3. Client Agency

The following are values to be entered for the Client Agency screen.

Agency and Agency Office - Enter the client agency that referred the civil action to your office. (LOV) If the agency has more than one location, select the appropriate one from the List of Values.

Agency # - Enter the number assigned to the civil action by the Client agency.

3.3.4. Assignment

The following are values to be entered for the Assignment screen.

Lead AUSA - Enter the code for the attorney who authorized the declination. (LOV)

Start Date - LIONS will default to the Received Date; however, it can be changed.

3.3.5. Relief

The following are values to be entered for the Relief screen.

Type - Enter the type of relief that is being requested; e.g., **M** (Monetary). (LOV)

Nonmonetary - If the Type of Relief requested is either **B** (Both) or **N** (Nonmonetary) you must include the nonmonetary relief that was being sought.

Amount - If the Type of Relief requested is either **B** (Both) or **M** (Monetary), you must enter a dollar amount. Do not enter a dollar sign (\$). Example: **10000**.

3.3.6. Disposition

The following are values to be entered for the Disposition screen.

Disp Date (Disposition Date) - Represents the date the civil action was declined. LIONS will default to the Received Date; however, it can be changed.

Disposition - Enter the appropriate civil declination disposition code; e.g., **XF** (Declined-Lacks litigative merit). (LOV)

3.3.7. Case Comments

The following are values to be entered for the Case Comments screen.

Comments - A local option, enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and select **Edit** from the pull-down menu.

3.4. When to Initiate a Civil Record

General Rule. Initiate a civil record (new USAO Number) when:

A civil action is referred to, or initiated by, the United States Attorney and an attorney spends one hour or more working on the file.

A civil action is commenced by the filing of a complaint in District Court. This includes post-conviction civil remedies.

A civil action on appeal in which the United States is a litigant is remanded to the District Court for a new trial.

- Adversary Proceeding. (See **Appendix E Bankruptcy**, for information about entering Adversary Proceedings.)
- A civil action is reopened in a different fiscal year. (See **Appendix E Reinstatements**, for information about entering reopened cases.)

Other civil litigation in which an attorney spends more than one hour of time.

Do NOT initiate civil records for:

Collection matters for which the Financial Litigation Unit is responsible. They are entered into the district's TALON or CLASS system. These are claims of a normal and routine nature, such as Department of Education student loan defaults, Veterans Administration benefit overpayments, etc., in which litigation normally is not contested and usually results in a judgment being entered.

Prejudgment bankruptcy cases and foreclosures, where U.S. plaintiff, entered directly into the Collections System.

Note: At local option, these cases can be initially entered as either civil or collections. However, this must be done consistently.

Proofs of Claim filed by the Internal Revenue Service unless the United States Attorney has been requested by the Tax Division to participate actively in the proceedings. (The one-hour rule does **NOT** apply.)

Certain non-IRS Proofs of Claim if the only action required is the filing of the proof of claim. If the United States Attorney is required to participate actively in the proceedings, the one-hour rule **WILL** apply. If a civil record is not opened, report it as an immediate declination.

Note: Immediate declinations of civil matters, cases, and appeals are currently not being used.

Miscellaneous Correspondence and Complaints of an obviously trivial nature, "crank" telephone calls and letters, civic association correspondence, miscellaneous correspondence, etc.

3.5. When to Initiate Multiple Participants

General Rule. As a general rule, only one participant is opened per civil action.

Exceptions

When two or more participants are involved in the same civil action *and* the \$ Relief Requested differs for the participants.

In lands civil actions, a separate file may be opened for each tract. Districts which handle multiple tracts in a single civil action may initiate one file with multiple participants, or open one file and show how many tracts are involved.

The \$ Relief Requested should reflect the amount claimed by the landowners. If there are multiple tracts, use one Relief record to enter the Requested amount and use another Relief record to enter the Granted or Denied amount, unless the claims indicate separate amounts for each individual tract in the civil action. In that instance, create a Relief record for each separate Requested amount and a Relief record for each separate Granted amount.

3.6. How to Initiate a Civil LIONS File

There are two ways to initiate a civil file in LIONS:

The **Civil Short** form allows you to enter information quickly, by completing two screens. Relationships that need to be made on an individual basis in the Long form are done automatically in the Short form. For example, all participants will be related to all events and relief records you have entered. In the Long form you must tell LIONS which participants are related to which events and relief.

The **Civil Long** form takes a little longer to complete, but you are able to capture more information; e.g., multiple cause of action codes, related civil action information, individual participant information, aliases, and comments. You are also able to add participants who are not related to the events or relief records; e.g., claimants in a forfeiture.

To initiate a civil matter or civil action in LIONS, click the **Civil** option from the Main Menu or press **ALT + C**. From the pull-down menu, click one of the following:

open case (**Short form**) or press the letter **S**. (See **Section 3.7**.)

open case (**L**ong form) or press the letter **L**. (See **Section 3.8**.)

3.7. Short Form

This form is used to enter basic information about the civil action. After entering the Caption and pressing **TAB**, **ENTER**, or clicking in the Received Date field, LIONS will automatically generate a USAOID number. You will notice that the Litigating Responsibility and Branch have been preset by LIONS. These fields can be changed.

USAOID - The USAO Number is generated by the LIONS system when a civil action is initiated. It is used to track the civil action throughout its life, including appeals.

Caption - Enter the reference name for the civil action, based on local office procedures. For example, the figure below lists **“John Williams vs IRS”** in the Caption field.

Figure 3-1. Civil Short Form (page 1)

3.7.1. Case

The following explains the values to be entered for the Case screen.

Recvd Date (Received Date) - Enter the date the civil action was received in the office. The date cannot be greater than today. The format for all dates is DD-MON-YYYY; e.g. enter January 1, 2003 as 01-JAN-2003 or 01 JAN 2003. When typing the date, spaces can be entered in place of the dashes. Spaces will be converted to dashes when the date is saved.

Cause Act (Cause of Action) - Enter the code that best describes the civil action (CO for Commercial Litigation, for example). See **Appendix A** for more information on Cause of Action Codes. (LOV)

US Role - Enter the code that describes the government's position in the civil action (**P** for Plaintiff, for example). (LOV)

Lit Resp (Litigating Responsibility) - LIONS will automatically enter **US** (Case Handled by USAO). If this is not correct, enter the correct code that describes the litigating responsibility. (LOV)

DOJ Division - Enter the DOJ Division code, if it has been provided to you. Enter the DOJ Division if a DOJ Number has been provided, even if the Litigating Responsibility is **US**. If the Litigating Responsibility Code is **DJ**, **RD**, or **SD**, the appropriate DOJ Division code *MUST* be entered.

If a Case Number Exchange form has been supplied by the DOJ Division, enter the USAO Number on the form and return it to the Division.

For Central Intake referrals, enter **ZCIF** as the DOJ Division.

For civil litigation arising out of OCDETF cases, e.g. Asset Forfeitures, enter **ZNTF** (Organized Crime Drug Enforcement Task Force) as the DOJ Division.

DOJ # - If the DOJ Division field has been entered, enter the file number.

Case Restrict (Case Restricted) - If you want to restrict access to a civil action to a certain group of users, enter **Y** (Yes). Otherwise, enter **N** (No).

You can only restrict cases to a group to which you belong. If you enter a **Y** in the Restrict field, you will receive the message shown below.



Figure 3-2. Case Restricted Message

When you click on **OK**, the Staff Group form will be displayed.

Figure 3-3. Staff Group Form

You must select the group name from the list of values **F9**.

Note: You must be a member of the group before you can restrict or unrestrict access to that group.

Exit this form to return to the case block.

Branch - LIONS will default to the Branch of the person entering the information. This code can be changed. (LOV)

Weight - Based on local procedures, enter a code that further defines the complexity of the civil action. This code can be used to measure the complexity of civil actions for assignment purposes. The codes for this field are established by your district. (LOV)

Unit - This code is used to designate a group within the office responsible for the civil action; e.g., Civil Rights. The codes for this field are established by your district. (LOV)

Security - Based on local procedures, you may enter a code that describes the level of security for the case. (LOV)

Spec Proj (Special Project) - The EOUSA has established a series of codes for types of cases which are being monitored by its Priority Programs Team. This field is used to produce the special reports needed

by the team. Enter the code that describes a special project category; e.g., **H** (Health Care Fraud). (LOV)

Type - If your office has established local case types, enter the code that further describes the nature of the case. (LOV)

Qui Tam Flag - This field may be completed on any kind of Fraud Civil case. Simply answer Y for Yes or N for No in this field.

Vic/Wit (Victim/Witness) - This field acts as an indicator in civil actions in which there are victims and/or witness which can be tracked by the Victim/Witness Coordinator. (LOV)

3.7.2. Court History

If the civil action is Not in Court (**NC**) or Post Disposition Not in Court (**PN**), LIONS will skip the remainder of the COURT HISTORY block and move to the ASSIGNMENT block.

Court (and Court Location) - Enter the appropriate Court Code; e.g., **DC** (District Court). You can also enter a location for the Court. These codes are established by your office. (LOV)

App Type (Appeal Type) - This field is to be used for Appeal ONLY cases. See *Chapter 8 - Appeals, for instructions on entering Appeals*.

Filing Date - Enter the date the civil action was filed in court. This field is required when a court code other than **NC** (Not in Court) or **PN** (Post-Disposition Not in Court) has been entered, and a Service Date will not be entered.

Court # - Enter the number assigned to the civil action by the court. This field is required when a court code other than **NC** (Not in Court), or **PN** (Post-Disposition Not in Court) has been entered.

Service Date - Enter the date the USAO was served. This field is required when a court code other than **NC** (Not in Court), or **PN** (Post-Disposition Not in Court) has been entered and the Filing Date has not been entered.

For a civil action that is filed in any court, you **MUST** enter a filing date and/or a service date.

Judge - Enter the initials of the judge hearing the civil action, if applicable. The codes for this field are established by your district. (LOV)

If the Judge is not included in the list of values, press **F3** to GoTo the Judge Picklist form and enter the applicable information. When you are done, return to the Court screen. See **Chapter 4 - Civil**

Updates and Closings, Section 4.16.4 for additional information on the Judge Picklist form.

Start Date - If a Judge is entered, the Start Date will default to the current date; however, it can be changed.

3.7.3. Assignment

The following explains the values to be entered for the Assignment screen.

Lead AUSA - Enter the initials for the lead attorney assigned to the civil action. The last name will be filled in based on the initials entered. (LOV)

Start Date - LIONS will default to the current date; however it can be changed.

3.7.4. Client Agency

The following explains the values to be entered for the Client Agency screen.

Agency (and Agency Office) - Enter the client agency that referred the civil action to your office. If the agency has more than one location, select the appropriate one from the List of Values. (LOV)

Agency # - Enter the number assigned to the civil action by the Client agency.

3.7.5. Participant

In LIONS, a “participant” is a litigant, witness, victim, piece of property to be forfeited, or any other individual, organization, or business associated with the civil action. At a minimum, one litigant participant must be entered.

Figure 3-4. Civil Short Form (page 2)

Repeat the following information for each participant in this civil action. Press F6 to insert or DOWN ARROW to go to a blank line to add subsequent participants.

Type - Enter the code that best describes the participant. (LOV)

- I Individual
- B Business/Organization
- P Property

Role - Enter the role code that best describes the participant (P for Plaintiff, for example). (LOV)

Name - If the participant has a Type of **I** (Individual), a pop-up block displays to prompt you for the participant's last name and first name. If the name search is activated, LIONS will check the database for this name.

If the participant has a Type of **B** (Business) or **P** (Property) enter the business or property name in the field provided.

EIN/SSN/CATS - Enter the IRS Employer Identification Number (EIN) for a business participant; enter the Social Security Number (SSN) for an individual participant; enter the Consolidated Asset Tracking System (CATS) number for a property participant.

Opp Coun Initials (Opposing Counsel Initials) - Enter the initials of the opposing counsel. (LOV)

Opp Type (Opposing Counsel Type) - Enter the code that describes the type of counsel for the defendant; e.g., **AP** (Appointed). (LOV)

Start Date - Enter the start date for the counsel.

3.7.6. Relief

The following explains the values to be entered for the Relief screen.

Type - Enter the type of relief that is being sought. (LOV)

- M** Monetary
- N** Nonmonetary
- B** Both Monetary and Nonmonetary

Stage - The history of Relief is tracked in LIONS using the Stage field. LIONS will default the Stage to **R** (Requested). A Requested stage is required when a civil action is opened. (LOV)

- D** Denied
- E** Estimated
- G** Granted
- O** Ordered
- R** Requested

Requested By - Enter **G** (Sought by the Government) if the Government is seeking the relief. Otherwise, enter **O** (Sought by Opposing Party). For Lands Civil actions, enter **O**. (LOV)

Note: Unknown should only be used until the information becomes available.

Liability - If you entered one participant, LIONS will default the liability to **I** (Individual); if you entered multiple participants, LIONS will default the liability to **J** (Joint and Several). (LOV)

Amount - If the Type of Relief is **M** (Monetary) or **B** (Both Monetary and Nonmonetary), enter the dollar amount being sought. The maximum amount is **999,999,999,999.99**. Do not enter a dollar sign (\$). Example: **1000**. The cursor skips over this field when Type of Relief is Nonmonetary.

Nonmonetary - If the relief being sought is **N** (Nonmonetary) or **B** (Both Monetary and Nonmonetary), enter a description of the type of nonmonetary relief being sought. The cursor skips over this field when Type of Relief is Monetary.

Agency - LIONS will default this field to the Client Agency that you previously entered.

3.7.7. Event

The Event block is a scrollable block. The scroll bar at the bottom of the block means there is more information than what appears on the screen. Click on the left and right arrow to move back and forth within the block.

Event - Enter the code that best describes the event (**CMPL** for Complaint, for example). (LOV)

Action - Enter the code that further describes the event (**FI** for Filed, for example). (LOV)

Event Date - Enter the date the event occurred. If you are scheduling a date, leave this field blank.

Date Scheduled - Enter the date an event is scheduled to take place, if applicable. If an Event is entered, you must enter an Event Date or a Scheduled Date. Scheduled Dates will appear on staff members' calendar reports. Scheduled dates must be greater than the current date.

Time Scheduled - Enter the time an event is scheduled to take place. Scheduled time will also appear on staff members' calendar reports and is used by Document Generation.

Staff Initials - LIONS will automatically fill in the initials of the Lead Attorney. If this is incorrect, enter the appropriate attorney/staff initials. LIONS automatically fills in the last name of the staff member.

Doc Code (Document Code) - Enter the document number for document generation purposes, if needed. See **Chapter 9** for information regarding Document Generation.

Document Staff Initials - LIONS will default to the initials of the person that has logged into LIONS. This cannot be changed. Used by Document Generation.

Document Date - Will default to the current date. It is used by Document Generation when setting the date range for documents to be produced in batch. If it is necessary to regenerate a document, the date can be changed.

Location Scheduled - Enter a free-form description of the location of the scheduled event. Used by Document Generation.

Judge INIT (Initials) - Enter the initials of the Judge involved in the event or scheduled event. Used by Document Generation. (LOV)

Judge Last Name - LIONS will fill in the Judge's last name based on the initials entered.

Comments - At local option, enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and select **Edit** from the pull-down menu.

If you have another event to enter, press **F6** to insert or the DOWN ARROW to go to a blank line.

If you want to enter another civil action, move to the USAOID field and press **F6**, answer **Y** (Yes) to the prompt to save your changes, and a new screen displays.

3.8. Long Form

This form is used to enter detailed information about the civil action. After entering the Caption and pressing **TAB**, **ENTER**, or clicking in the Received Date field, LIONS will automatically generate a USAOID number. You will notice that the Status Litigating Responsibility and Branch have been preset by LIONS. These fields can be changed.

USAOID - The USAO Number is generated by the LIONS system when a civil action is initiated. It is used to track the civil action throughout its life, including appeals.

Caption - Enter the reference name for the civil action, based on local office procedures. For example, the figure below lists "Robert Smith vs IRS" in the Caption field.

The screenshot shows the LIONS CIVIL OPEN LONG form with the following data entered:

- USAOID: 2006V00063
- Caption: Robert Smith vs IRS
- Received Date: 11-SEP-2006
- Status: A (Active)
- Criminal Potential: (blank)
- Cause of Act: CO (Commercial Litigation/Gener)
- Lit Resp: US
- Case Handled Exclusively b: (blank)
- US Role: D (U.S. is Defendant)
- Branch: 0 (San Jose)
- DOJ Division: (blank)
- DOJ Number: (blank)
- Case Restrict: (blank)
- Lit Track: (blank)
- Security: (blank)
- Special Proj: (blank)
- ADR Mode: (blank)
- Weight: (blank)
- Unit: (blank)
- Tribe: (blank)
- Reservation: (blank)
- Type: (blank)
- Related Flu Flag: (blank)
- Qui Tam Flag: (blank)
- Total Victims: (blank)

The COURT HISTORY section includes fields for Court, Appeal Type, Filing Date, Court Nbr, Service Date, Judge, Start Date, Disp, and Disp Date. The AUSA section includes Lead AUSA and Start Date. The date MON, 11-SEP-2006 is displayed at the bottom left, and navigation buttons are at the bottom right.

Figure 3-5. Civil Long Form

3.8.1. Case

The following explains the values to be entered for the Case screen.

Received Date - Enter the date the civil action was received in the office. The date cannot be greater than today. The format for all dates is DD-MON-YYYY; e.g. enter January 1, 2001 as 01-JAN-2001 or 01 JAN 2001. When typing the date, spaces can be entered in place of the dashes. Spaces will be converted to dashes when the date is saved.

Status - LIONS will automatically set this to **A** (Active) for open civil actions and **C** (Completed) for closed civil actions.

Criminal Potential - If there is a possibility that a criminal case may arise out of the civil action, enter **Y(es)**. Otherwise leave blank. (LOV)

Cause of Act (Cause of Action) - A pop-up block allows you to enter the code or codes that best describe the type of civil action. Example: **CO** (Commercial Litigation). Enter the most important code first. If you have more than one Cause of Action to enter, press **F6** to insert or the DOWN ARROW to go to a blank line. Otherwise, press ENTER. If you insert or arrow down to a blank line and then change your mind, press **SHIFT + F6** to return to the previous line. (LOV)

The CAUSE OF ACTION pop-up window shows a list of codes and descriptions. The selected code is **CO** with the description **Commercial Litigation/General Claims**. There are two empty lines below the selected entry.

Figure 3-6. Cause of Action Pop-up

Lit Resp (Litigating Responsibility) - A code that indicates who will handle the litigation; e.g., the USAO, an agency attorney, a DOJ Division. During initiation, LIONS will automatically fill in the Lit Resp field with **US** (Civil action Handled by USAO). If this is not correct it can be changed. (LOV)

US Role - The code that describes the government's position in the civil action; e.g., **P** (Plaintiff). (LOV)

Branch - LIONS will default to the Branch of the person entering the information. This code can be changed. (LOV)

DOJ Division - A pop-up block as shown in Figure 3-7 below allows you to enter the DOJ Division code(s). (LOV)

Figure 3-7. DOJ Division Pop-up

Enter the DOJ Division if a DOJ Number has been provided, even if the Litigating Responsibility is **US**. If the Litigating Responsibility Code is **DJ**, **RD**, or **SD**, the appropriate DOJ Division code **MUST** be entered.

If a Case Number Exchange form has been supplied by the DOJ Division, enter the USAO Number on the form and return it to the Division.

For an NCIF referral enter **ZCIF** as the DOJ Division.

For civil litigation arising out of OCDETF cases (e.g. Asset Forfeitures), enter **ZNTF** (Organized Crime Drug Enforcement Task Force) as the DOJ Division.

DOJ Number - If a DOJ Division has been entered in the DOJ Division field, enter the division's file number. This field is required if a DOJ Division has been entered.

Case Restrict (Case Restricted) - Based on local office procedures, you can restrict access to a case to a certain group of users, provided you are a member of that group. Enter **Y** (Yes) to restrict access. Otherwise enter **N** (No). (LOV)

You can only restrict cases to a group to which you belong. If you enter a **Y** in the Restrict field, you will receive the message shown in Figure 3-8.



Figure 3-8. Case Restricted Message

When you click on **OK**, the STAFF GROUP form will be displayed.

Figure 3-9. Staff Group Form

Staff Groups - Enter the group to which the civil action is restricted. (LOV) Exit Staff Group to return to Case. Make the LIONS user ID is a member in all staff groups.

Branch - LIONS will default to the Branch of the person entering the information; however, it can be changed. The codes for this field are established by your office. (LOV)

Lit Track (Litigation Track) - Based on local procedures, enter a code that further defines the complexity of the litigation. This code can be used with the Weight field to assist in civil action assignment. (LOV)

Security - Users may be prohibited from seeing civil actions based on the code in this field. Based on local procedures, enter a code that describes the level of security for the civil action, if applicable. (LOV)

Special Proj (Special Project) - The EOUSA has established a series of codes for certain high profile types of civil actions which are being monitored by its Priority Programs Team. This field is used to produce the special reports needed by the Priority Programs Team. Enter the code that describes the special category, if applicable. (LOV)

ADR Mode - If applicable, enter the code that defines the type of alternative dispute resolution. (LOV)

Weight - Based on local procedures, enter a code that further defines the complexity of the civil action. This code can be used to measure the complexity of civil actions for assignment purposes. The codes for this field are established by your district. (LOV)

Unit - This code is used to designate a group within the office responsible for the civil action; e.g., Civil Rights. The codes for this field are established by your district. (LOV)

Tribe - Enter the appropriate Native American tribe, if applicable. This field should be entered when the United States has jurisdiction over a civil action involving a Native American tribe. (LOV)

Reservation - Based on local procedures, enter a Native American reservation or military installation, if applicable. The codes for this field are established by your district. (LOV)

Type - Based on local procedures, enter the code that further describes the nature of the civil action. The codes for this field are established by your district. (LOV)

Total Victims - Enter the appropriate number of Victims in this field.

When you have finished entering the Case information, press **TAB**, **ENTER**, or **CTRL + PAGE DOWN** to go to the COURT HISTORY block.

3.8.2. Court History

The following explains the values to be entered for the Court History screen.

Court (and Court Location) - Enter the appropriate court code (DC for District Court, for example). You can also enter the location of the court. The court location codes are established by your district. The Court Code is required, but the Court Location is not. (LOV)

If the civil action is **NC** (Not in Court) or **PN** (Post-Disposition Not in Court), the cursor will skip the remainder of the COURT HISTORY block and move to the COURT/STAFF ASSIGNMENT block.

Appeal Type - This field is to be used for Appeal ONLY civil actions. See Chapter 8 - Appeals, for instructions on entering Appeals. (LOV)

Filing Date - Enter the date the civil action was filed in court. This field is required when a court code other than **NC** (Not in Court) or **PN** (Post-Disposition Not in Court) has been entered, and a Service Date will not be entered.

Court Nbr (Court Number) - Enter the number assigned to the civil action by the court. This field is required when a court code other than **NC** (Not in Court) or **PN** (Post-Disposition Not in Court) has been entered.

Service Date - Enter the date the USAO was served. This field is required when a court code other than **NC** (Not in Court) or **PN** (Post-Disposition Not in Court) has been entered and the Filing Date has not been entered.

For a civil action that is filed in any court, you *MUST* enter a filing date and/or a service date.

Judge - Enter the initials of the judge hearing the civil action, if applicable. The codes for this field are established by your district. (LOV)

If the Judge is not included in the list of values, press **F3** to **GoTo** the Judge Picklist form and enter the applicable information. When you are done, click on the **Exit** icon to return to the Court screen.

See **Chapter 4, Section 4.16.4** for additional information on the Judge Picklist form.

Start Date - If a Judge is entered LIONS will default the Start Date to the current date; however, it can be changed.

Disp/Disp Date (Disposition and Disposition Date) - These are READ ONLY fields on this screen and are not relevant to civil action initiation.

When you have finished entering the COURT HISTORY information, press **TAB**, **ENTER**, or **CTRL + PAGE DOWN** to go to the COURT/STAFF ASSIGNMENT block.

3.8.3. Court/Staff Assignment

In LIONS, you must enter the Lead AUSA for each civil action. You can also track other employees assigned to a civil action; e.g. co-counsel, paralegals, etc. The first entry must be the **L** (Lead) attorney assigned to the civil action. The position field for the first entry will default to **L** (Lead).

Figure 3-10. Court/Staff Assignment

Initis (Initials) - Enter the initials of the staff member(s) assigned to the civil action. The codes for this field are established by your district. LIONS will automatically fill in the appropriate staff name based on the initials entered. (LOV)

Position - Enter the code for the staff member's position. LIONS will default the first entry to L (Lead). You are only allowed one open Lead (end date is blank). (LOV)

Start Date - LIONS will default to the current date; however, it can be changed.

End Date - This field should be blank when opening a civil action. Use this field to record the date a staff member's involvement in the civil action ended.

If you have another staff member (assignment) to enter, press **F6** to insert or the DOWN ARROW to go to a blank line, otherwise, press **ENTER** or **CTRL + PAGE DOWN** to go to the AGENCY block. If you insert or arrow down to a blank line and then change your mind, press **SHIFT + F6** to return to the previous line and then press **ENTER** or **CTRL + PAGE DOWN**.

3.8.4. Agency

You can enter Agency/Agent information for one or more client agencies.

Figure 3-11. Agent/Agency

Role - Enter the role.

Agency - LIONS will default the Role for the first agency to **CL** (Client). Every civil action *MUST* have at least one client agency. (LOV)

Agency and Agency Office - Enter the code for the client agency that referred the civil action to your office. If the agency has more than one location, select the appropriate one from the List of Values. The Agency Office information appears in the AGENCY OFFICE (READ ONLY) block. To enter or update Agency Office information, use the Agency Picklist form. See **Chapter 4, Section 4.16.1** for information about the Agency Picklist form. You can enter multiple agencies. (LOV)

Agency Number - Enter the number assigned to the civil action by the Client agency.

Agent - Enter the name of the Agency Contact or agent and as much additional information as is known.

Salutation - Enter the salutation used in official correspondence with the agent.

Name - Enter the agent's name, last and first names.

Title - Enter the agent's title.

Lead Agent - This field is used to identify the Lead Agent in the civil action. Enter **Y** (Yes) if this is the Lead Agent. The Lead Agent can be used for document generation. See **Chapter 9, Document Generation**.

Phone/ Fax/Pager/Email - Enter as much of this information as is known.

Agency Office (READ ONLY). This block is filled in based on the picklist of agency offices previously entered by your district.

When you have finished entering Agency and Agent information, press **CTRL + PAGE DOWN** to go to the PARTICIPANT block.

3.8.5. Participant

In LIONS, a "participant" is a litigant, witness, victim, piece of property to be forfeited, or any other individual, organization, or business associated with the civil action. At a minimum one litigant participant must be entered.

Participants are related to the Court History. When a user *initiates* a civil action, LIONS automatically relates all of the participants to the current Court History stage. Participant Court records are discussed in detail in **Chapter 6 - Criminal Updates and Closings**.

| T | Role | Name | Di | Disp Date | Di | Disp Date |
|---|------|---------------|-------------|-----------|----|-----------|
| I | P | Smith, Robert | LOWER COURT | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

Figure 3-12. Participant

Repeat the following information for each participant involved in the civil action.

T (Type) - The code that best describes the opposing party. (LOV)

I Individual

B Business or organization

P Property (either real property or other property to be forfeited)

Role - The role code that best describes the opposing party (D for Defendant, for example). (LOV)
If the Role denotes a victim (**VI**), a pop-up screen prompts you for additional Victim/Witness information.

| Victim Type | Prosec | Victim No | Threat | Elderly |
|----------------------|----------------------|----------------------|----------------------|----------------------|
| <input type="text"/> |

Figure 3-13. Victim Participant

Victim Type - Is this a Primary or Secondary victim? A primary victim is defined as the individual or organization against whom a crime was committed. The secondary victim is family or other individuals who have been affected by the crime; e.g., the relative of a homicide victim. (LOV)

Prosecution - Does the victim want to prosecute **Y** (Yes) or **N** (No)? (LOV)

Victim Times - The number of times the person has been a victim. (LOV)

Threat - Has the victim been threatened? (LOV)

Elderly - Is the victim elderly? (LOV)

Name - If the participant has a Type of **I** (Individual), a pop-up block displays to prompt you for the participant's last name and first name.

If the participant has a Type of **B** (Business) or **P** (Property) enter the business or property name in the field provided.

If the name search is activated, LIONS will check the database for this name.

Disposition (Read Only) (Lower Court) (Appeal Court) - These fields will be blank when initiating a civil action.

The code entered in the Type field determines the next set of screens used to provide more detailed information about the Participant.

If the Type of Participant is **I** (Individual) refer to Section 3.8.5.1.

If the Type of Participant is **B** (Business) refer to Section 3.8.5.2.

If the Type of Participant is **P** (Property) refer to Section 3.8.5.3.

3.8.5.1. Individual Participant

You can enter additional information about the individual participant. This information is available for local use and is not required.

The screenshot shows a software window titled "LIONS - CIVIL OPEN LONG" with a menu bar (Action, Edit, Record, Query, Window, Help) and a toolbar. The main area displays a form for an individual participant. At the top, it shows "cvopen:1.18" and "USAOID: 2006V01300" with a caption "Robert Smith vs IRS". The form is divided into sections for personal information (Last Name: Smith, First Name: Robert, Role: P, Title, Job Pos, Court Trial #, Gender, SSN#, DOB, Reservation, Tribe, Weight) and contact information (Home Address, Office Address, City, State, Zip, County, Phone, FAX). A status bar at the bottom shows "FRI_04-AUG-2006" and navigation buttons like "Skip", "<S><U><F><D>", and arrow keys.

Figure 3-14. Individual Participant

Last Name/First Name/Role - LIONS moves this information into this screen from the previous screen.

Salutation - This field is used in conjunction with document generation. Enter Mr., Ms., Mrs., etc.

Title - This field can be used to identify the title of an individual; e.g. Attorney-at-Law, Professor of Criminology, etc.

Job Pos (Position) - This field can be used to track the litigant's job or position in an organization, if it is relevant to the civil action. (LOV)

Court Trial Number - A pop-up block displays to prompt you for the Court Trial Number. Enter the court trial number if applicable.

Gender - Enter **M** (Male) or **F** (Female). (LOV)

SSN# - The individual's Social Security Number.

DOB - The individual's date of birth in DD/MMM/YYYY format.

Tribe - The appropriate Native American tribe, if applicable. (LOV)

Reservation - This field can be used to track Native American reservations or military installations. The codes for this field are established by your district. (LOV)

Weight - Based on local procedures, enter a code that further defines the complexity of the civil action. This code can be used to measure the complexity of civil actions for assignment purposes. The codes for this field are established by your district. (LOV)

Home and Office Address and Phone Numbers - Fields are available for the individual's home and office address and phone number. These fields can be used for document generation.

3.8.5.1.1. Alias

A separate screen is used to track any aliases so that more than one can be entered, if needed.

Figure 3-15. Alias

Last Name/First Name - Enter an alias for the participant, if applicable.

3.8.5.2. Business Participants

You can enter more detailed information about the business or organization (the type of business, EIN number, business contact, and the business address). All of the fields on this screen are optional.

Figure 3-16. Business Participant

Name/Role - LIONS moves this information into this screen from the Participant screen.

Type - A locally established code that describes the type of business. (LOV)

EIN - The Employer Identification Number of the business or organization.

Contact Name - The name of the individual who serves as your contact for the business or organization.

Address/Phone Information - The business' address and telephone numbers.

A separate screen is used to track a DBA (Doing Business As) so that more than one can be entered, if needed. See Figure 3-17.

3.8.5.2.1. DBA (Doing Business As)

You can enter another name for the business, if applicable. More than one DBA can be entered, if needed.

Figure 3-17. Doing Business As

3.8.5.3. Property Participants

You can collect information about the type of property, total number of tracts in Lands civil actions, the Consolidated Asset Tracking System (CATS) ID, and the property address. All of the fields on this screen are optional.

The screenshot shows a web application window titled "LIONS - CIVIL OPEN LONG". The main content area is a form for "PROPERTY" with the following fields:

- USAOID: 2006V01300
- Caption: Robert Smith vs IRS
- PROPERTY Name: 123 Property Court
- Role: D
- Type: [dropdown]
- Total Tracts: [input]
- CATS Asset ID: [input]
- Address: [input]
- City: [input]
- State: [input]
- Zip: [input]
- County: [input]
- Phone: [input]
- FAX: [input]

At the bottom of the window, there is a date field "FRI,04-AUG-2006" and navigation buttons: "Skip", "<S><U><F><D>", and a "Next Page" button.

Figure 3-18. Property Participants

Name/Role - LIONS moves this information into this screen from the previous screen.

Type - A local code which describes the type of property. (LOV)

Total Tracts - The total number of tracts associated with a Lands civil action.

CATS Asset ID - The number assigned to the property by the Consolidated Asset Tracking System (CATS).

Address/Phone Information - Enter the property's address and phone numbers, if applicable.

3.8.5.3.1. Property Value

You can use the Property Value block to maintain a history of a property's valuation.

The screenshot shows the same "PROPERTY" form as in Figure 3-18. Below the "PROPERTY" form is a "PROPERTY VALUE" table with the following structure:

| Type | Value | Prop Date |
|------|-------|-----------|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

At the bottom of the window, there is a date field "FRI,04-AUG-2006" and navigation buttons: "Skip", "<S><U><F><D>", and a "Next Page" button.

Figure 3-19. Property Value

Type - A code that describes the source for the property value (AP for Appraised, for example). (LOV)

Value - The \$ amount that applies to the property.

Prop Date (Property Date) - The date the property was valued.

3.8.6. Related Participant

You can relate participants in a civil action to another participant in the same civil action. For example, if you entered a piece of property, and you also entered the claimant, you can relate the property to the claimant.

The screenshot shows the LIONS CIVIL OPEN LONG application window. The title bar reads 'LIONS - CIVIL OPEN LONG'. The menu bar includes 'Action', 'Edit', 'Record', 'Query', 'Window', and 'Help'. The main window displays 'cvopen:1.18' and 'USAOID: 2006V01300' with a 'Caption: Robert Smith vs IRS'. Below this is the 'PROPERTY' section with fields for 'Name: 123 Property Court', 'Role: D', 'Type:', and 'Total Tracts:'. There are also fields for 'CATS Asset ID:' and 'Address:'. The 'RELATED PARTICIPANT' section is a table with columns for 'Name', 'Role', and 'Reason'. The table is currently empty. At the bottom, there is a date field 'FRI,04-AUG-2006', a 'Skip' button, and navigation arrows.

Figure 3-20. Related Participant

Name/Role - Participants for this block must be chosen by pressing **F9** and selecting a participant name.

Reason - The code that describes why one participant in a civil action is related to another participant in the same civil action. This information is required if a name has been selected from the LOV.

When you create a related participant record, LIONS will automatically create a matching record for the related participant.

3.8.7. Opposing Counsel

You can track opposing counsel for all participants.

Figure 3-21. Opposing Counsel

Inits (Initials) - Enter the initials of the opposing counsel. The codes for this field are established by your district. (LOV)

If the opposing counsel is not in the database, you can add it by pressing **F3** to GoTo the Opposing Attorney Picklist form. See **Chapter 4 Section, Section 4.16.2** for additional instructions. When you are done, click on the **Exit** icon to return to the Opposing Counsel form.

Name - LIONS will automatically enter the name based on the initials previously entered.

Type - Enter the code that describes the type of counsel for the defendant (**AP** for Appointed, for example). (LOV)

Start Date - Enter the date the opposing counsel became involved in the civil action.

End Date - This field is not relevant for civil initiation. Use this field to record the date the opposing counsel's involvement in the civil action ended.

3.8.8. Participant Comment

You can create a comment for each participant in the civil action.

Figure 3-22. Participant Comments

Comment - Enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and select Edit from the menu.

If you enter the editor screen, click the **OK** button to exit the editor screen.

3.8.9. Participant Relief

In LIONS, you **MUST** enter at least one relief requested record in a civil action. You may only enter one requested record for an agency/participant combination. For example, if there is only one agency and one litigant, then only one relief requested record can be entered. If there are two agencies and one litigant, up to two requested records can be entered. **Exception:** IRS cases can have multiple relief requested records for the same agency/participant combination.

Figure 3-23. Relief

Type - The type of relief that is being sought. (LOV)

M Monetary

N Nonmonetary

B Both Monetary and Nonmonetary

Stage - The history of Relief is tracked in LIONS using the Stage field. LIONS will default the Stage to **R** (Requested). A Requested stage is required when a civil action is opened. (LOV)

D Denied

E Estimated

G Granted

O Ordered

R Requested

Note: The Ordered stage is for DNA Testing only. The Requested, Ordered and Granted stages are required to initiate the DNA Testing screen. See section 3.8.9.1 below for further information on the DNA screen.

Requested By

G Government is seeking the relief.

O Opposing Party is seeking the relief. Used for Lands civil actions. (LOV)

Note: **U** (Unknown) should only be used until the information becomes available.

Liability - If you attached one participant, LIONS will default the liability to **I** (Individual); if you attached multiple participants, LIONS will default the liability to **J** (Joint and Several).

Amount - If the Type of Relief is **M** (Monetary) or **B** (Both Monetary and Nonmonetary), enter the dollar amount being sought. The maximum amount is **999,999,999,999.99**. Do not enter a dollar sign (\$). Example: **1000**. The cursor skips over this field when Type of Relief is Nonmonetary.

Nonmonetary - If the relief being sought is **N** (Nonmonetary) or **B** (Both Monetary and Nonmonetary), enter a description of the type of nonmonetary relief being sought. The cursor skips over this field when Type of Relief is Monetary.

Agency - LIONS will default this field to the Client Agency that you previously entered. If you have entered more than one Agency, you must select one.

Participant Relief -You must attach at least one participant to the Relief record; however, you can only attach the participant in combination with the Agency to one Requested record.

Name/Role/Disp (Disposition) - When you select a participant from the list of values, LIONS will insert the participant's name and role.

3.8.9.1. DNA Testing

The DNA Testing screen captures DNA testing information based on court granted relief including additional outcomes (if applicable). The DNA Testing screen is attached to the G – Granted relief stage and can be added/updated/deleted from this stage only. The DNA Testing screen will become available if the following requirements are met:

Cause of Action = 'PCDN' (18 USC 3600 – DNA Testing)

Court = 'DC'

Relief Stage = R (Requested); O (Ordered) and G (Granted)

The Relief record must contain all three Relief Stage records before the DNA Testing screen will become available.

Note: To view the DNA Testing screen you will be required to enter the stage records in the ordered listed above (Requested-Ordered-Granted). You will be prevented from entering a G - Granted record before an O – Ordered record is entered.

The screenshot shows the LIONS - RELIEF - [cvrelief:2.0] application window. The menu bar includes Action, Edit, Record, Query, Window, and Help. The main area is divided into sections: CASE, RELIEF, and PARTICIPANT RELIEF. The CASE section shows USAOID: 2006V00531, Caption: testing DNA, and Status: A. The RELIEF section shows Type: Monetary, Stage: Granted, Requested By: O Opposing Side, Liability: I Individual, Amount: 2,000.00, and Agency: AGFM Rural Development Agency/Other than Single Family Housing. The PARTICIPANT RELIEF section contains a table with the following data:

| Role | Last Name, First Name | Disp | Disp Date |
|------|-----------------------|------|-------------|
| D | Smith, Bill | JJ | 15-JUL-2006 |
| | | | |
| | | | |

At the bottom left, the date THU,20-JUL-2006 is displayed. At the bottom right, there are navigation buttons: <S><U><I><D> and a green arrow button.

Figure 3-24. Relief/DNA Testing

To access the DNA Testing screen, click in the green arrow  at the bottom right of the G – Granted relief stage record.

Figure 3-25. DNA Testing

DNA Testing Ordered? – This field will be defaulted to “Y” once an O – Ordered relief record is entered.

District Court grant relief on DNA test results? – This field will be defaulted to “Y” once a G – Granted relief record is entered.

Further proceedings occur when relief was granted? – If “Y” is checked, either “New Trial Ordered” plus one or more of the outcomes listed must also be checked; OR “Resentencing in a Capital Case” must be checked. A DNA case can not be closed if one or more outcomes are not checked. You will not be allowed to close a case without these fields being checked.

Comments – Enter any comments on the DNA Testing record if applicable.

If the **G** – Granted relief stage record is deleted, the DNA Testing screen will also be deleted. You will not be able to delete an **O** – Ordered relief stage record unless the **G** – Granted record is also deleted. The system will display error message 535 if this occurs: “Granted record must be deleted before Ordered.”



Figure 3-26. Granted Record Deletion Error Message

3.8.10. Event

In LIONS, the user can relate participants to events; however, the participant must first be related to a court history stage for which the event is being entered.

Figure 3-27. Event Section

Rel (Relate) - The first field in the EVENT block is a blank column that allows you to attach participants to events. **You must use this feature if you want to print the participant's last event on reports.**

If you enter a **Y** (Yes) in the Rel column, all participants that have been attached to the current court history stage will be attached to the event.

If you enter **N** (No), a pop-up block displays when you press **TAB**, **ENTER**, or **CTRL + PAGE DOWN** from the Judge Inits field.

Figure 3-28. Related Participants to Event Pop-up

In the Relate Participants to an Event Pop-up block, enter an **X** next to each participant that you want attached to the event. When you are done attaching participants to events and you press **CTRL + PAGE DOWN** you will see the Participant Event screen.

Figure 3-29. Participant Event

Event - Enter the code that best describes the event. (LOV)

Note: Districts may create event codes at their discretion.

Action - Enter the code that further describes the event (FI for Filed, for example). (LOV)

Event Date - Enter the date the event occurred. If you are scheduling an event, leave this field blank.

Date Scheduled - Enter the date an event is scheduled to take place, if applicable. If an Event is entered, you must enter an Event Date or a Scheduled Date. Scheduled Dates displays on staff members' calendars and are used in Document Generation.

Time Scheduled - Enter the time an event is scheduled to take place. Scheduled times will also appear on staff members' calendars and are used in Document Generation.

Staff INIT (Initials) - LIONS will automatically fill in the initials of the Lead Attorney. If this is incorrect, enter the appropriate attorney/staff initials.

Staff Last Name - LIONS automatically fills in the last name of the staff member.

Doc Code (Document Code) - Enter the document number for document generation purposes, if needed. See Chapter 9 for information regarding Document Generation.

Doc Staff INIT (Document Staff Initials) - LIONS will default to the initials of the person that has logged into LIONS. This cannot be changed. Used by Document Generation.

Document Date - Will default to the current date. It is used by Document Generation when setting the date range for documents to be produced in batch. If it is necessary to regenerate a document, the date can be changed.

Location Scheduled - A free-form description of the location of the scheduled event. Used by Document Generation.

Judge INIT (Initials) - Enter the initials of the Judge involved in the event or scheduled event. LIONS automatically fills in the last name of the judge. Used by Document Generation.

Judge Last Name - LIONS automatically fills in the last name of the judge.

Event Comment - Enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and select **Edit** from the menu.

Note: The Comment should not be used to repeat the translation of the Event Code.

3.8.11. Related Cases

You can relate one civil action in LIONS to another civil action in LIONS. You can also relate civil actions in LIONS to civil actions that are no longer in LIONS.

The screenshot shows the LIONS - CIVIL OPEN LONG interface. The main window displays case details for USAOID 2006V01300, titled "Robert Smith vs IRS". The case is active and received on 04-AUG-2006. The cause of act is "Commercial Litigation/Gener" and the US role is "U.S. is Defendant". The branch is "Columbia". Below the case details is a table for related cases.

| Court Number | Rel USAOID | Related | Court Number | Reason |
|--------------|------------|---------|--------------|--------|
| | | | | |
| | | | | |
| | | | | |

Figure 3-30. Related Case

Case Court Number - Press **F9** for a list of court numbers in this civil action. Highlight the court number you want and press ENTER. To select the current court number, enter an **X** and press TAB or ENTER. (LOV)

Related USAOID - The USAOID of the case to which you want to relate the current civil action.

Related Court Number - The Court Number from the civil action to which you want to relate the current civil action. (LOV)

Reason - The reason why you are relating these cases (IS for Same Issue, for example). This field is required if any of the other fields have been entered. (LOV)

When you create a related case record, LIONS will automatically create a matching record for the related case if it is still in the LIONS database.

3.8.12. Case Comment

The screenshot displays the LIONS - CIVIL OPEN LONG application window. The title bar reads "LIONS - CIVIL OPEN LONG". The menu bar includes "Action", "Edit", "Record", "Query", "Window", and "Help". The main window title is "cvopen:1.18".

At the top, the "USAOID" is "2006V01300" and the "Caption" is "Robert Smith vs IRS". Below this is the "CASE" section with the following fields:

- Received Date: 04-AUG-2006
- Status: A Active
- Criminal Potential: [] []
- Cause of Act: CO Commercial Litigation/Gener
- Lit Resp: US Case Handled Exclusively b
- US Role: D U.S. is Defendant
- Branch: C Columbia
- DOJ Division: []
- DOJ Number: []
- Case Restrict: []
- LR Track: []
- Security: []
- Special Proj: N None of the Above
- ADR Mode: []
- Weight: []
- Unit: []
- Tribe: []
- Reservation: []
- Type: []
- Related Flu Flag: []
- Qui Tam Flag: []
- Total Victims: []

Below the case details is a large text area labeled "CASE COMMENTS". At the bottom of the window, there is a date field showing "FRI,04-AUG-2006" and navigation buttons: "<S><U><I><D>" and left/right arrow buttons.

Figure 3-31. Case Comment

Comment - Enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and select **Edit** from the menu.

4.0 CIVIL UPDATES AND CLOSINGS

To update civil actions in LIONS you may be required to add information to existing records, change information in existing records, or add new records. The following table describes various types of updates and the steps to accomplish them.

| Update | Action | Section |
|-----------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|---------|
| Initial Court Filing or Transfer to another Court | Close Court History | 4.3 |
| | Close Court Participant (optional) | 4.4 |
| | Modify Relief (optional) | |
| Add additional Relief records | Access Relief | 4.4 |
| AUSA and Judge Reassignments (Global) | Access AUSA and Judge Reassignment from Admin Module | 4.5 |
| AUSA and Judge Reassignments (Individual) | Access Court History | 4.6 |
| | Access USAO Assignments | 4.6 |
| Agency/Agent Information | Access Agency | 4.7 |
| Restrict Case and other general Case Information | Access Restrict Case | 4.8 |
| | Access Case | 4.9 |
| Change in Court History Information | Access Court History | 4.10 |
| Event/Scheduled Event Information | Access Event | 4.11 |
| Expert Information | Access Expert | 4.12 |
| Miscellaneous Number (including DCMNS) | Access Miscellaneous Number | 4.13 |
| Opposing Counsel Information | Access Opposing Counsel | 4.14 |
| Participant Information | Access Participant | 4.15 |
| Track Multiple appraisals for a piece of property | Access Participant | 4.15 |
| Adding or changing information to Agency Office, Opposing Attorney, Expert, Judge | Access picklists from the Civil pull-down menu, and then click on the appropriate option | 4.16 |
| Closing | Close Relief | 4.17 |
| | Close Case | |

All updates to existing civil actions can be performed through the Case Summary Screen or through the Update (General Update) option. If you are making a lot of changes to an individual civil action, such as going from Not in Court to District Court, it is recommended that you use the Case Summary Screen. If you are making one kind of change (scheduling events in multiple cases, select the appropriate record from the General Update Menu).

4.1. Case Summary Screen

From the **Civil** pull-down menu, click on **Case Summary** or press the letter **C**.

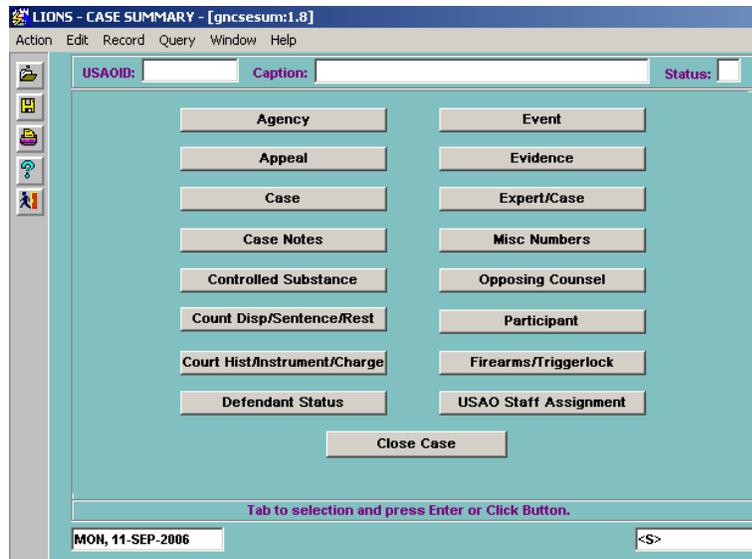


Figure 4-1. Civil Case Summary

To access a civil action from the Case Summary Screen, enter a USAOID and press **F8**.

Note: If you do not know the USAIOD, select an inquiry option from the Inquiry pull-down menu from the LIONS Main Menu to locate the case. See **Chapter 2, Section 2.10 for instructions on performing inquiries**. Use the TAB, ENTER, or click with the mouse to place our cursor next to the record you want. Press **F3** or double click to access the record.

Note: If your LIONS security permissions do not allow you to access a particular form, the box next to the form label; e.g., Agency, will be grey. Access to the Close Case screen is also available from the Civil Case Summary Screen.

4.2. General Update

From the Civil pull-down menu click on **Update** or press the letter **U**. From the next pull-down menu click on **General Update**, or press the letter **G**. See Figure 4-2.

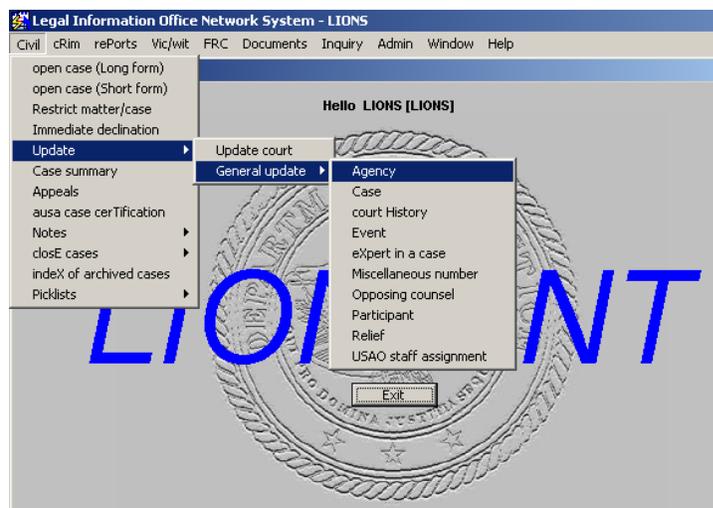


Figure 4-2. Civil General Update Menu Options

Note: To access forms through the General Update menu, click on the desired record or enter the underlined letter. For example, if you want to access the Event record press **E**.

4.3. Initial Court Filing or Transfer to another Court

When you are updating a civil action to go from “Not in Court” to “Court,” or from one court to another court, you must close the existing Court History record and add a new Court History record. In addition, you may need to modify the Relief record. You can also close the Court Participant record, but it does not have any overall affect on the case.

Select Update Court (History) from the Civil Update submenu or the Civil Case Summary screen. Enter the USAOID number, and then press **F8**.

Figure 4-3. Court History

Court History - Highlight the Court History record you want to close. Tab through the fields until you get to the **Di** field and enter the following information:

Di (Disposition) - Enter **NW** (New Filing)

Disp Date - Enter the date the civil action was filed in court.

Note: You cannot enter a disposition date that is < the received date.

Optionally, you can go down to the Court/Participants block and enter a disposition code and date for each participant listed. However, it does not have any overall affect on the case.

Optionally, you can close the Assignment record that is attached to the **NC** (Not in Court) Court History Record by pressing **CTRL + PAGE DOWN** from the Court/Participants block to the Assignments block and entering and end date on the Lead AUSA.

When you have completed closing the Court History, go to a blank line in the Court History block and enter the appropriate court (**DC** for District Court, for example), filing date and/or service date, and the court number.

After entering the new Court History, go down to the Court Participants block and attach a participant to the new court. Press **F9** for a list of participants. For each participant that will be part of the new court, highlight the participant and press the **ENTER** key. At least one participant **MUST** be attached to the Court History. If the participant you want is not in the LOV, press **F3** to access the Participant form to add additional participant(s). Remember to Exit the Participant form to return to the Court/Participant block of the Court History form.

When you have completed entering the appropriate information in the Court/Participant block, press **CTRL + PAGE DOWN** or press the Next Page button and enter an Assignment record.

The screenshot shows the 'LIONS - COURT HISTORY' application window. The 'CASE' section displays USAOID: 2006Y01299, Caption: John Williams vs IRS, Status: A, and Total Trial Days for Cases: 0. The 'COURT HISTORY' table has one row with the following data:

| Crt | Loc | Location | Filing Date | Service Date | Court Number | AUSA |
|-----|-----|----------------|-------------|--------------|--------------|------|
| DC | | District Court | 04-AUG-2006 | | DC-123-11 | AS |

The 'ASSIGNMENTS' table has one row with the following data:

| Initials | Name | Position | Start Date | End Date |
|----------|---------------|----------|-------------|----------|
| AS | Smith, Alesia | 1 | 04-AUG-2006 | |

The status bar at the bottom shows 'FRI, 04-AUG-2006' and navigation buttons.

Figure 4-4. Assignment

From the Assignment record, press **CTRL + PAGE DOWN** or the Next Page button to add a Court Judge, if applicable.

The screenshot shows the 'LIONS - COURT HISTORY' application window. The 'CASE' section displays USAOID: 2006Y01299, Caption: John Williams vs IRS, Status: A, and Total Trial Days for Cases: 0. The 'COURT HISTORY' table has one row with the following data:

| Crt | Loc | Location | Filing Date | Service Date | Court Number | AUSA |
|-----|-----|----------------|-------------|--------------|--------------|------|
| DC | | District Court | 04-AUG-2006 | | DC-123-11 | AS |

The 'COURT JUDGES' table has one row with the following data:

| Initials | First Name, Last Name | Start Date | End Date |
|----------|-----------------------|-------------|----------|
| BH | Harwell, R. Bryan | 04-AUG-2006 | |

The status bar at the bottom shows 'FRI, 04-AUG-2006' and navigation buttons.

Figure 4-5. Court Judge

If the Judge is not included in the list of values, press **F3** to GoTo the Judge Picklist form and enter the applicable information. When you are done, click on the **Exit** icon to return to the Court/Judge block. See **Section 4.16.4**, for additional information on the Judge Picklist form.

From the Court Judge press **CTRL + PAGE DOWN** or press Next Page button to add a Comment, if applicable.

Figure 4-6. Court History Comments

4.4. Relief

To modify or add relief records, access the Relief form off the LIONS General Update menu. See Figures 4-7 and 4-8.

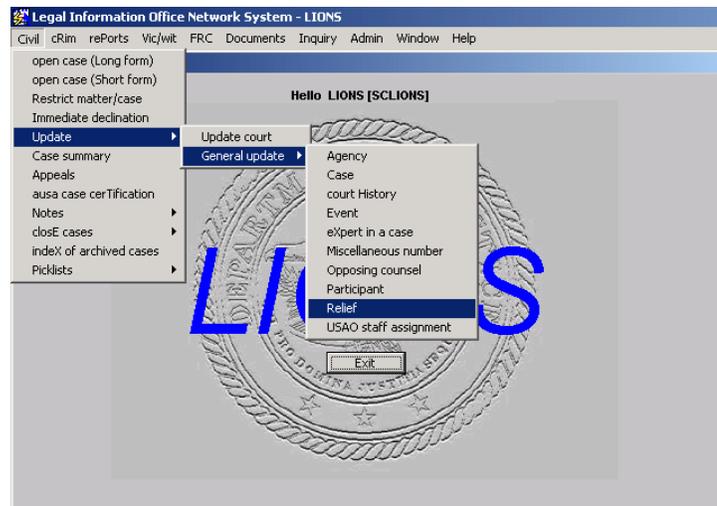


Figure 4-7. Accessing Participant Relief

The following screen displays.

The screenshot shows the LIONS - RELIEF - [cvrelief2.0] application window. The interface includes a menu bar (Action, Edit, Record, Query, Window, Help) and a toolbar with icons for various actions. The main form is divided into several sections:

- CASE:** USAID: 2006V01299, Caption: John Williams vs IRS, Status: A
- RELIEF:** 1 OF 1
 - Type: N Nonmonetary
 - Stage: R Requested
 - Requested By: G Government
 - Liability: I Individual
 - Amount: Samples
 - Agency: JUAZ Joint Alcohol, Tobacco, Firearms, Explosives/State or Local Task Force
- PARTICIPANT RELIEF:** A table with columns: Role, Last Name, First Name, Disp, and Disp Date.

| Role | Last Name, First Name | Disp | Disp Date |
|------|-----------------------|------|-----------|
| D | Doe, Michael | | |
| | | | |
| | | | |
| | | | |

At the bottom of the window, there is a date field showing 'FRI,04-AUG-2006' and navigation buttons: '<S><U><I><D>'.

Figure 4-8. Participant Relief

You can only have one relief record with a Stage of Requested, per agency/participant combination.

Exception: IRS cases can have multiple relief requested records for the same Agency/participant combination. You can have as many estimated records as you need.

If you are adding a new relief record, the following information must be entered:

Type - The type of relief that is being sought. (LOV)

- M** Monetary
- N** Nonmonetary
- B** Both
- U** Unknown Monetary Amount

Stage - The history of Relief is tracked in LIONS using the Stage field. LIONS will default the Stage to **R** (Requested). A Requested stage is required when a civil action is opened. (LOV)

- D** Denied
- E** Estimated
- G** Granted
- O** Ordered
- R** Requested

Requested By - Enter **G** (Sought by the Government) if the Government is seeking the relief. Otherwise, enter **O** (Sought by Opposing Party). For Lands civil actions, enter **O**. (LOV)

Note: **U** (Unknown) should only be used until the information becomes available.

Liability - If you attached one participant to the relief record, LIONS will default liability to **I** (Individual); if you attached multiple participants to the relief record, LIONS will default the liability to **J** (Joint and Several).

Amount - If the Type of Relief is **M** (Monetary) or **B** (Both Monetary and Nonmonetary), enter the dollar amount being sought. The maximum amount is **999,999,999,999.99**. Do not enter a dollar sign (\$). Example: **1000**. The cursor skips over this field when Type of Relief is Nonmonetary.

Nonmonetary - If the relief being sought is **N** (Nonmonetary) or **B** (Both Monetary and Nonmonetary), enter a description of the type of nonmonetary relief being sought. The cursor skips over this field when Type of Relief is Monetary.

Agency - LIONS will default this field to the Client Agency that you previously entered. If you have entered more than one Agency, you must select one.

When you press **TAB**, **ENTER** or **CTRL + PAGE DOWN** from the relief block, you will receive the pop-up block shown in Figure 4-9 asking if you want to relate all participants to the relief.

If you enter **Y** (Yes), then LIONS will attempt to make this attachment for you. However, it is recommended that you only use this option for estimated records, initial requested records and initial granted or denied records.

Figure 4-9. Participant/Relief Question

Participant Relief - You must attach at least one participant to the Relief record; however, you can only attach the participant in combination with the Agency to one Requested record.

Exception: When IRS is the agency, you can enter multiple records for the participant/IRS combination.

Only one granted or denied record can be entered for the participant/agency combination with the exception of the participant/IRS combination. Furthermore, LIONS will not allow you to enter a granted or denied record for a participant/agency combination unless a Requested record exists for the same participant/agency combination.

If you attempt to add a granted or denied record without an existing requested record, the error message shown in Figure 4-10 displays, informing you that a requested record already exists for this participant.



Figure 4-10. Relief Edit Error Message

Name/Role/Disp (Disposition) - When you select a participant from the list of values, LIONS will insert the participant's name and role.

If you are closing relief, **DO NOT** write over the existing record, add a new record. You can only add a granted or denied record if a requested record exists for the agency/participant combination.

DNA Testing – If you are closing a relief with a DNA Testing record attached, you must ensure one or more outcomes are checked before closing the record. See section 3.8.9.1 for further information on the DNA Testing screen.

4.5. AUSA and Judge Reassignment (Global)

To reassign multiple civil actions from one USAO staff member to another, or from one Judge to another, use the Reassignment form as shown in Figure 4-12. Access the Reassignment form from the LIONS Main Menu. Click on Admin, and then click on Staff or Judge Reassignment.

Note: If you do not have access to the Admin module, see your System Manager for assistance.

When you use the Reassignment form you must choose the Staff *OR* Judge block. You cannot make reassignments to Staff and Judge at the same time.

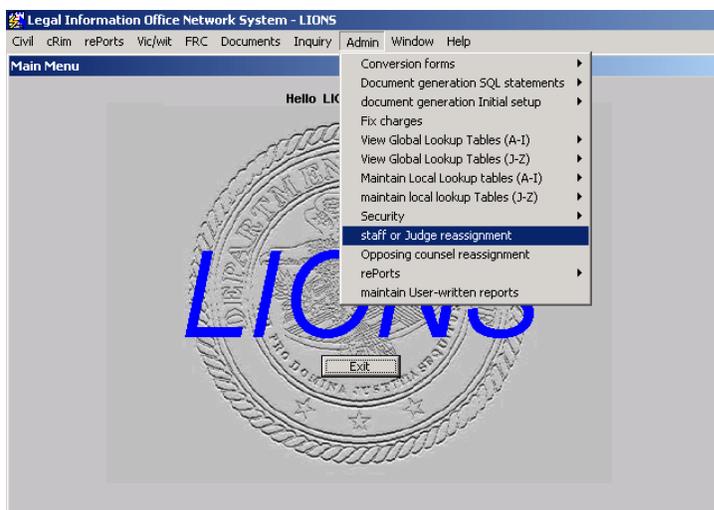


Figure 4-11. Initiating the Reassignment

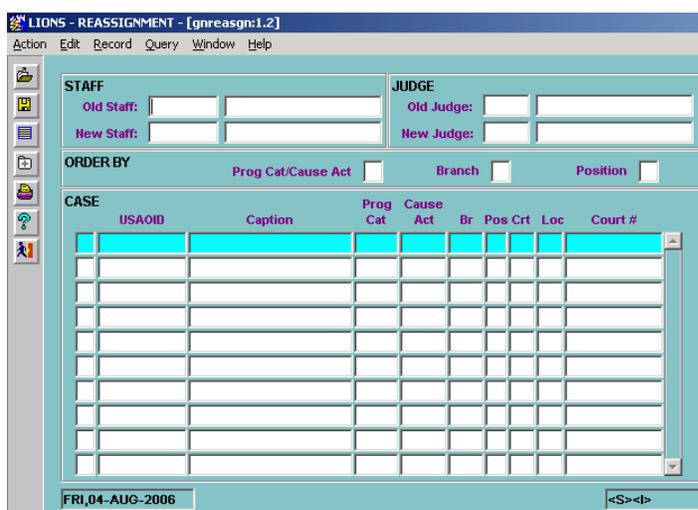


Figure 4-12. Reassignment

Old Staff/Old Judge - Enter the code for the staff member or Judge currently assigned.

New Staff/New Judge - Enter the code for the staff member or Judge that will be assigned.

You must choose one of the Order By options. Put an **X** in the box next to your choice to determine how the list of civil actions will be sorted. Press the TAB key to process.

When you perform the query, LIONS will bring up all civil and criminal records assigned to the current USAO staff member (or Judge). For staff member assignments, LIONS will list the position of the staff person. If you are reassigning a civil action from a staff person that is listed as the Co-counsel (**C**), the new staff member position will automatically default to **C**.

Use the arrow keys or the mouse to move up and down the list. Put an **X** next to any civil action that you want to reassign. When making multiple selections remember that you can only reassign civil and criminal actions from one USAO staff person (or Judge), to another USAO staff person (or Judge). After you have marked all the records you want to reassign, press **F10** to commit your request for reassignment.

You will receive a pop-up message asking: "**Do you really want to make this change?**"

Answering **N** (No) to this question will cancel your request and provide you another opportunity to mark records that have previously been queried.

Answering **Y** (Yes) to this question will make the reassignments you requested and clear the form.

When you make reassignments through the Reassignment form LIONS will automatically update the Court History Assignment block. The current date will be inserted into the End Date field of the current staff member, and the start date of the new staff member.

4.6. AUSA and Judge Reassignment (Individual)

To reassign a single civil action from one USAO staff member to another, access the USAO Staff Assignment form from the Civil General Update menu or Civil Case Summary Screen.

| Inits | Last Name, First Name | Pos | Start Date | End Date |
|-------|-----------------------|-----|-------------|----------|
| AS | Smith, Alesia | L | 04-AUG-2006 | |
| | | | | |
| | | | | |
| | | | | |

Figure 4-13. USAO Staff Assignment

Query the case and highlight the current court. Go down to the Assignment block and enter an End Date on the old USAO staff person. Arrow down to a blank line and enter the new USAO staff person, Position and Start Date.

You can have only one active **L** (Lead AUSA) per court. If you are reassigning the Lead AUSA, you must first close the current lead by entering an end date, then you can add the new Lead AUSA.

To reassign a single civil action from one Judge to another, access the Update Court (History) form from the Civil Update menu or Civil Case Summary Screen. Refer to **Section 4.3** above for instructions on Court/Judge. To close a Judge, enter an end date.

If the new Judge is not included in the list of values, press **F3** to GoTo the Judge Picklist form and enter the applicable information. When you are done, click on the **Exit** icon to return to the Court screen. See **Section 4.16.4** for additional information on the Judge Picklist form.

4.7. Agency/Agent Information

To change or add additional Agency or Agent information access the Agency form from the General Update menu or Case Summary Screen.

The screenshot shows the 'LIONS - AGENCY' form with the following fields and sections:

- CASE:** USAOID: 2006V01299, Caption: John Williams vs IRS, Status: A
- AGENCY:**
 - Role: CL, Agency Code and Office: JUJAZ, Agency Number: JAG1122
 - Full Agency Name: Joint Alcohol, Tobacco, Firearms, Explosives/State or Local
- AGENT:**
 - Salutation: [blank], Last Name: [blank], First Name: [blank] (1 OF 1)
 - Agent: [blank], Phone: [blank], Fax: [blank], Pager: [blank]
 - Title: [blank], Lead: [blank], Email: [blank]
- AGENCY OFFICE (READ ONLY):**
 - Office: [blank]
 - Address: [blank], City: [blank], State: [blank]
- AGENCY COMMENTS:** [blank]
- Footer:** FRI,04-AUG-2006, navigation buttons: <S><U><I><D>

Figure 4-14. Agency

You cannot make a change to the agency code. If the wrong agency has been recorded, delete the record then add a new agency.

Caution: If you have attached the agency to a relief record, that record will be deleted. If it is the only Requested relief record, a new one *MUST* be entered. See **Section 4.4** for instructions on entering relief.

If you are making a change to Agent information, be sure that the proper agency is highlighted before adding/changing Agent information. Use the DOWN and UP arrows to move through Agent records.

4.8. Restrict Case

LIONS provides a feature that allows you to restrict a civil action to a group of USAO staff members. When restricted, all information in the civil action can only be viewed by the USAO staff who are members of the group. If it is necessary to restrict a civil action, access the Restrict Matter/Case form from the Civil pull-down menu.

The screenshot shows the 'LIONS - CASE STAFF GROUP' form with the following fields and sections:

- CASE:** USAOID: [blank], Caption: [blank], Status: [blank]
- STAFF GROUP:**
 - Table with columns: Name, Description
 - Table is currently empty.
- Footer:** FRI, 04-AUG-2006, navigation buttons: <S><U><I><D>

Figure 4-15. Staff Groups

Enter a USAOID or part of the Caption and press **F8** to retrieve the civil action you want to restrict. If more than one case is retrieved, press the DOWN ARROW until the civil action you want to restrict is displayed.

Caution: Do not enter a USAOID and a partial Caption at the same time.

Go to the STAFF GROUP block. Press **F9** or click on the List icon to select the group to which you want your civil action restricted. If you are not a member of a staff group, you cannot restrict civil actions and no LOV will appear. See your System Manager for assistance.

4.9. Other General Case Information

As new general case information becomes available, or changes from the initial data entry, they can be entered. Access the Case form from the Civil General Update menu or Case Summary Screen.

The screenshot displays the LIONS - CIVIL OPEN LONG - [cvopen:1.18] form. The form is divided into several sections:

- Case Information:** Includes fields for USAOID (2006V01299), Caption (John Williams vs IRS), Received Date (04-AUG-2006), Status (A Active), Criminal Potential, Cause of Act (AD Admiralty), Lit Resp (US), Case Handled Exclusively by (b), US Role (P U.S. is Plaintiff), Branch (C Columbia), DOJ Division, DOJ Number, Case Restrict (N No), LR Track, Security, Special Proj (N None of the Above), ADR Mode, Weight, Unit, Tribe, Reservation, Type, Related Flu Flag, Qui Tam Flag, and Total Victims.
- Court History:** Includes fields for Court (DC District Court), Appeal Type, Filing Date (04-AUG-2006), Court Nbr (DC-123-11), Service Date, Judge (BH Harwell, R. Bryan), Start Date (04-AUG-2006), and Disp Date.
- AUSA:** Includes fields for Lead AUSA (AS Smith, Alesia) and Start Date (04-AUG-2006).

The form also features a menu bar (Action, Edit, Record, Query, Window, Help) and a toolbar with various icons.

Figure 4-16. Other General Case Information

Information can be added or changed in all of the fields in the Case block. For example, if you want to add a DOJ Division, tab to the DOJ Division field and enter the appropriate data.

Note: Do not make changes to the Court History or AUSA blocks through the Case form. Use the individual Court History or AUSA forms.

4.10. Change in Court History Information

If you need to make a change to Court History, access the Court History form from the General Update menu or Case Summary Screen.

Figure 4-17. Court History

There are only certain pieces of information on this screen that can be changed. You can change Court Location, Filing Date, Service, and Court Number, but you cannot change the court. If the court is incorrect you will need to delete it and re-add the correct one.

Note: When you delete a Court History record, the system deletes records that are associated with that court (Assignment and Judge will also be deleted). Sentence records will *NOT* be deleted. They need to be deleted manually before deleting the Court History record.

If you need to change the Court/Participant records, click into the Court/Participant section or press **CTRL + PAGE DOWN** from the Court History section. You can add new court/participant records by pressing **F6** or using the DOWN ARROW to open a blank line. Select the participant you want to relate to the court off the LOV by pressing **F9** or clicking on the list icon.

To delete a Court/Participant record, highlight the participant and press **SHIFT+F6**. You will receive a LIONS warning message asking if you really want to delete the record. Answering **Y** (Yes) to this message will remove the relationship between the participant and the court record. It will *NOT* delete the actual participant record.

If you need to change the Assignment or Judge, click on the right green arrow at the lower-right end of the screen until you reach the appropriate screen.

4.11. Event/Scheduled Event (Calendar)

If a significant event occurs, or if you wish to schedule an event, access the Event form from the General Update menu or Case Summary Screen.

Figure 4-18. Event (left side)

Figure 4-19. Event (right side)

You can add events, scheduled events, and change all information about existing events, except the event code; e.g., event date, schedule date, etc. If an event code is incorrect, delete the code and reenter an event, if appropriate.

Before entering a new event or scheduled event, be sure you have the appropriate Court highlighted. Press **CTRL + PAGE DOWN** to move the Event Block. If you want to relate all of the participants in the civil action to the new event or scheduled event, enter a **Y** (Yes) in the first column of the Event block. If you do not want to relate all participants to the new event or scheduled event, enter **N** (No) in the first column of the Event block. No causes a Pop-up screen where you can assign one or more Participants to an Event.

Select event code from LOV (**F9**). When you enter a code in the event field, an event date or scheduled date is required. Scheduled dates are used to produce calendars from the Reports option on the Main Menu, and are used in Document Generation. Additional instructions on entering Event information can be found in Chapter 3.

Note: If you schedule an event, you can go back to the scheduled event and enter an event date to show that it occurred.

After entering the Event information, press **CTRL + PAGE DOWN**. If you entered a **Y** (Yes) in the first column of the Event block, you will receive a pop-up block as shown in Figure 4-20.

The screenshot shows the 'LIONS - EVENT - [gnevent:1.12]' form. The 'CASE' section displays USAOID: 2006V01299 and Caption: John Williams vs IRS. The 'COURT HISTORY' section shows a table with columns for Court Location, Filing Date, and Court Number, with values DC, District Court, 04-AUG-2006, and DC-123-11. The 'EVENT' section has a table with columns for Rel, Event, Action, Event Date, Date Scheduled, Time Scheduled, and Staff INIT. The 'PARTICIPANTS RELATED TO EVENTS' section is a pop-up block with columns for Role, Last Name, First Name, Disp Reason, and Disp Date, showing a participant with Role 'D', Last Name 'Doe', First Name 'Michael', Disp Reason, and Disp Date.

Figure 4-20. Participants Related to Events

The pop-up at the bottom of the form verifies that all participants related to the court highlighted in the Court History block have been related to the Event.

If you entered an **N** (No) in the first column of the Event block you will receive a pop-up block as shown in Figure 4-21.

The screenshot shows the 'LIONS - EVENT - [gnevent:1.12]' form. The 'RELATE PARTICIPANTS TO EVENTS' section is a pop-up block with columns for X, Role, Last Name, First Name, Disp Reason, and Disp Date, showing a participant with Role 'D', Last Name 'Doe', First Name 'Michael', Disp Reason, and Disp Date. The 'EVENT' section has a table with columns for Rel, Event, Action, Event Date, Date Scheduled, Time Scheduled, and Staff INIT. The 'EVENT COMMENTS' section is a text area.

Figure 4-21. Relate Participants to Events

Enter an **X** next to each participant that you want related to the event or scheduled event. When you press **CTRL + PAGE DOWN** you will receive the verification pop-up shown in Figure 4-21.

Note: To reflect a litigant's last event on reports, you **MUST** make this relationship.

When you are finished entering the event or scheduled event, and you have attached participants to the event, press **CTRL + PAGE DOWN** to enter an Event Comment.

4.12. Expert in a Case Information

If you have expert information to add to a civil action, or expert information that you want to change, access the Expert In a Case form from the Civil /Update/General Update Menu or Case Summary screen.

| Expert Side | Inits | Last Name, First Name | Type |
|-------------|-------|-----------------------|------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Figure 4-22. Expert in a Case

You can enter the following information in this form:

Expert Side - Defines for whom the expert is testifying. Enter **G** (Government) or **O** (Opposing Side)

Inits (Initials) - Enter the initials of the expert. (LOV) If the Expert is not included in the list of values, press **F3** to GoTo the Expert Picklist form and enter the applicable information. When you are done, click on the **Exit** icon to return to the Expert form. See Section 4.16.3 for additional information on the Expert Picklist form.

Name - LIONS will fill in the name based on the initials that were entered.

Type - LIONS will fill in the type of expert based on initials and name (BAN for Banker, for example). The codes for this field are established by your district. (LOV)

Comment - Enter a comment relating to the expert. To see more of the screen, press **ALT + E** and select **Edit** or double click on the **Comment** field.

If you have additional experts to enter, press the down arrow to go to a blank line and continue data entry as stated above.

4.13. Miscellaneous Number Assignments (Including DCMNS)

To enter DCMNS numbers, note the physical location of a file, or to assign an in-house Federal Records Center (FRC) number, access the Miscellaneous Number form from the Civil/Update/General Update or the Civil/Update/Case Summary screen.

Figure 4-23. Miscellaneous Numbers

You can enter data for one case or for multiple cases. You can query up one case by keying in a specific USAOID and pressing **F8**; or you can query up a series of cases by entering a partial USAOID; e.g., **1997V003%** which would give you all civil files that begin with 1997V003; e.g., 1997V00301, 1997V00302, etc. (% acts as a wildcard). Press the **F8** key to query.

4.14. Opposing Counsel Information

To track Opposing Counsel information within a case, access the Opposing Counsel form from the Civil/Update/General Update Menu or Civil/Case Summary screen. See Figure 4-24.

Figure 4-24. Opposing Counsel

Before changing or adding Opposing Counsel information, make sure you have the appropriate participant highlighted. From the Participant block, press **CTRL + PAGE DOWN** and either change information to the existing Opposing Counsel, or add a new Opposing Counsel.

If the Opposing Counsel is not included in the list of values (LOV), press **F3** to **GoTo** the Opposing Attorney Picklist form and enter the applicable information. When you are done, click on the **Exit** icon to return to the Opposing Counsel form. See **Section 4.16.2** for additional information on the Opposing Attorney Picklist form.

4.15. Participant Information

To add or change Participant information, access the Participant form from the Civil/Update/General Update menu or Civil Case Summary screen.

Figure 4-25. Participant

You cannot change the Type code. If the Type is incorrect you must delete the participant then add the participant with the correct Type. If your Role is any code that begins with **D** or **P**, you can only change it to another **D** or **P**. If the Role needs to be changed to anything else, you will need to delete the participant and re-add it with the correct Role.

Caution: If you delete a participant and they have been related to court history, relief, or event records, these relationships will have to be re-established if necessary.

Based on the Type code entered, (**I**-Individual, **B**-Business, **P**-Property), LIONS gives you screens directly related to an individual, business, or property. These participant-related screens are discussed in **Chapter 3, Sections 3.8.5.1 through 3.8.5.3**.

To track multiple appraisals for a piece of property, highlight the property record and use the right arrow button in the bottom right corner of the screen to move to the appropriate block reflected in Figure 4-25.

You can enter multiple records to indicate different appraisals received on the property or the actual proceeds received from any sale of the property.

4.16. Picklists

There are several local look-up tables in LIONS over which the district has total control. These look-up tables are called Picklists. To access the Picklists, access the Picklist option from the Civil pull-down menu as shown in Figure 4-26. Each of the four options is discussed in the sections that follow.

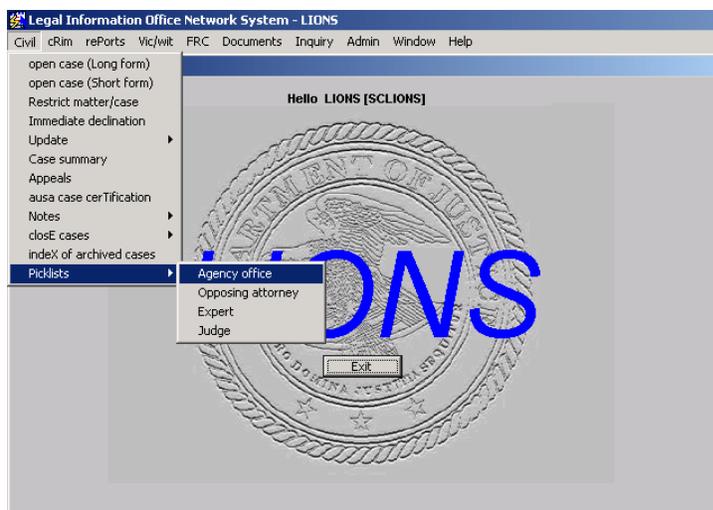


Figure 4-26. Civil Picklist Menu

4.16.1. Agency Office

This option allows you to capture multiple addresses for the same agency within a branch. From the Civil menu, select **P**icklists. From the Picklists menu, select Agency Office. See Figure 4-27.

Figure 4-27. Agency Office

Before you add an Agency Office, you must first find the Agency. To do this, Press **F7**, enter the Agency code and press **F8** to execute the query. If you do not know the code of the Agency for which you want to add an Agency Office, access your **LOV** (List of Values) after you press **F7**. **CTRL + PAGE DOWN** to the Agency Office block and enter the appropriate address information. If you have another address to enter for the same agency press **F6** or the DOWN ARROW to receive a blank record and continue data entry.

Note: The Office line should not be the same as the Agency Code Description. It should be a unique identifier for the Agency (FBI - Norfolk Office, for example). Press the **F8** key to process information or **Exit** and **Save**.

The next time you use the agency code in a case you will receive a pop-up block that will let you know you have multiple addresses. Press **F9** for a list of the addresses and select the appropriate one. LIONS will automatically put the address in the last block of the Agency form. This information can be used for Document Generation.

4.16.2. Opposing Attorney

This option allows you to capture pertinent information concerning an opposing attorney. From the Civil Menu, select Picklists and from the Picklists menu select Opposing Attorney.

Figure 4-28. Opposing Attorney

The information added through this form can be used in LIONS document generation or for reference. You can add the following:

Inits (Initials) - Enter a unique set of initials for the Opposing Attorney

Init Stat (Initials Status) - Indicates whether the Opposing Attorney is actively involved in cases within the district.

Salutation - Enter an appropriate salutation; e.g., Ms.

Last Name - Enter the Opposing Attorney's last name.

First Name - Enter the Opposing Attorney's first name.

Title - Enter an appropriate title; e.g., Esquire.

Phone - Enter the phone number of the Opposing Attorney.

Firm - Enter the name of the Opposing Attorney's law firm.

Address/City/State/Zip - Enter the Opposing Attorney's address.

If you have another Opposing Attorney to enter press **F6** or the DOWN ARROW to receive a blank record and continue data entry.

Press **F8** to process information or **Exit** and **Save**.

4.16.3. Expert

This option allows you to capture information about expert witnesses, including the type of expert; e.g., Banker. Access the Expert form as shown in the figure below. From the Civil menu, select **P**icklist; from the Picklist menu select **E**xpert.

Figure 4-29. Expert

The following information can be added for each expert:

Inits (Initials) - Enter a unique set of initials for the Expert.

Init Stat (Initials Status) - Indicates whether the Expert is actively involved in cases within the district.

Social Security Number (SSN) - Enter the expert's social security number.

Salutation - Enter an appropriate salutation; e.g., Ms.

Last Name - Enter the Expert's last name.

First Name - Enter the Expert's first name.

Type - Enter the Type of expertise or press **F9** (LOV)

Title - Enter an appropriate title; e.g., Doctor of Forensics.

Phone/Fax - Enter the phone number of the Expert.

Firm - Enter the name of the Expert's firm.

Address/City/State/Zip - Enter the Expert's address. Press the TAB button to move to the Expert Comments Field.

If you have another Expert to enter press **F6** or the DOWN ARROW to receive a blank record and continue data entry. Select **Exit** and **Save** button to process information.

4.16.4. Judge

This option allows you to capture information about judges. Access the Judge form as shown in the figure below. Press the **F6** button to enter information for a Judge.

The screenshot shows a software window titled "LIONS - JUDGE PICKLIST - [gnjudge:1.1]". The window contains a table with the following data:

| Initials | Judge Status | Last Name | First Name | Type | Court Room # |
|----------|--------------|-----------|-------------|------|--------------|
| BH | A Active | Harwell | R. Bryan | | |
| BHH | A Active | Hendricks | Brucie | | |
| BM | A Active | Marchant | Bristow | | |
| CES | A Active | Simons | Charles E. | | |
| CHH | I Inactive | Hamilton | Clyde H. | | |
| CHH | A Active | Haden | Charles H. | | |
| CMC | A Active | Currie | Cameron M. | | |
| CWG | A Active | Gambrell | Charles Wm. | | |
| CWH | A Active | Houck | C. Weston | | |
| DCN | A Active | Norton | David C. | | |
| DRD | A Active | Duncan | David R. | | |
| DWS | A Active | Shedd | Dennis W. | | |

At the bottom of the window, there is a date field showing "FRI, 04-AUG-2006" and navigation buttons: "<S><U><D>".

Figure 4-30. Judge Picklist Form

Enter the following information for Judges:

Initials - Enter a unique identifier for the Judge.

Judge Status - Enter the appropriate code to indicate whether the Judge is currently active in your district.

Last Name - Enter the Judge's last name.

First Name - Enter the Judge's first name.

Type - If appropriate for your district, enter the Judge type; e.g., Senior. (LOV)

Courtroom # - Enter the Judge's Courtroom number.

If you have another Judge to enter, press **F6** to insert or the DOWN ARROW to receive a blank record and continue data entry.

4.17. Civil Closings

The "Close a Case" screen is used when all stages of a case, including appeals, have been completed. The purpose of "closing a case" is to change the status from "active" to "closed" and to set the destruction date or to mark the file for permanent retention. In addition, you can enter the Court Disposition, Closing Relief Information, and Closing Appeals information if this information has not already been recorded.

When you are ready to close a civil case, the user can access the close screen directly by selecting Civil from the Main Menu and then closE cases and finally closE case from the submenus. Alternatively, you can select Civil from the Main Menu and Case Summary from the submenu. The Close Case button can be found on this form.

If you accessed the Close A Case screen directly, as shown in Figure 4-31, enter USAOID or a full Caption and press F8 to query. From the Case Summary screen, enter the USAOID number or a full Caption and press F8 to query.

Click on the Close Case button to access the Close A Case screen.

Figure 4-31. Close A Case Screen

When you select this screen you will notice that certain pieces of information have been defaulted. The Received Date is the date the file was opened in LIONS. The Status appears as **A** (Active). This will automatically change to **C** (Completed) when all of the steps necessary to close the case have been done. The Destruction Date is calculated by LIONS, based on the Comprehensive Retention Schedule for U.S. Attorney Records (United States Attorneys' Manual, Title 3-13.310).

The following fields in the CASE block must be completed by the user:

Perm (Permanent) - Indicates whether the file will be retained permanently. Enter **Y** (Yes) or **N** (No). (LOV) Files are designated as permanent if either of the following criteria applies: (1) The case has an impact on a statute, rule, regulation, or law enforcement policy; e.g., set a precedent; or (2) the case received local, regional or national media attention, or the interest of a Congressional committee or the Executive Office of the President, or widespread public interest. See EOUSA Resource Manual 123.

Collect Ind - Enter a **Y** (Yes) if the file will be referred to the Financial Litigation Unit. Enter **R** (Referred to Agency) if the file is being returned to the agency for post-disposition collection activities. Otherwise, enter **N** (No).

All of the information in the LAST COURT STAGE is READ ONLY. It reflects information entered into the last Court History Record. The information in the Assignment block is READ ONLY also. It represents the Lead staff member for the last Court History Record.

The RECORDS DISPOSITION block references Court History records, Relief records, and Appeal records. If the Status is Completed for one of these records, then no action is required. If the Status is Incomplete then proceed as follow.

Court Disposition - The number in the Record(s) column indicates how many Court History records need to be closed. To close these records, press F3 which will take you to the appropriate form. See **Section 4.10** above for additional information on closing Court Disposition records.

Enter the appropriate disposition and disposition date, for the court. When making your selection, note the following concerning credit for "trials" and judgments.

Credit for Civil Cases Disposed of by Trial. In order to receive credit for a Civil case disposed of by a Trial you *MUST* use one of the following Civil Disposition Codes:

JJ Judgment/Order/Decision for U.S. (Jury Trial)

JT Judgment/Order/Decision for Opposing Party

Judgments Entered Without Trial. If a judgment is entered in a civil case use the appropriate Disposition code, such as:

JO Judgment/Order/Decision for Opposing Party (No Trial)

JY Judgment/Order/Decision for Opposing Party (Non Jury Trial)

JU Judgment/Order/Decision for U.S. (No Trial)

JX Judgment/Order/Decision for U.S. (Non Jury Trial)

Close the Court/Participants if the disposition information for individual participants is different than the overall disposition of the case. If you do not close the Court/Participants, LIONS will move the disposition and disposition date from the Court History record to the Court/Participant records.

When you have completed closing the Court History record(s), press the **Exit** icon to go back to the closing screen.

Relief - The number in the Record(s) column will only be 0 or 1. If there is a 1 in the field, press F3 to select the Relief form. Press the down arrow to add another Relief record. You must enter a **G** (Granted), **D** (Denied) or **X** (Neither) record. Press the **Exit** icon and **Save** the record to go back to the closing screen. See Section 4.4 above for additional information on Relief records.

Appeals - The number in the Record(s) column indicates how many Appeal records need to be closed. To close these records, press **F3**, which will take you to the appropriate form. See Chapter 8 for instructions on closing appeals.

When you have closed the appeals press the **Exit** icon to save the record and go back to the closing screen. When the Records Disposition block indicates "Completed" for all records, you can close the civil action by pressing **F10**. The Status field in the CASE block will change to **C** (Completed).

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5.0 CRIMINAL INITIATION

Criminal cases can be managed through the LIONS system using a series of screens which collect detailed information concerning the following:

Case - Provides an overview of the case. It contains information like lead charge, program category, the U S. role, litigating responsibility, security and access restrictions, location, and, at the district's discretion, the weight and complexity of the case.

Court History - A history of all court filings is created for each case. A new Court History record is opened to track the court and the court's location, as well as the judges associated with the case for each stage (indictment, superseding indictment, post disposition, appeal) of the case. Prior to any filing, a "not in court" record is opened.

USAO Staff Assignments - You can track the names of AUSAs and other employees assigned to a case. At a minimum, you must track the Lead Attorney. You can track additional attorneys, paralegals, etc. This assignment information is used by LIONS to create individual and master calendars.

Agencies - All agencies involved in the case, e.g., investigative, "victim," as well as office addresses and points of contact at each agency can be tracked. At a minimum, one investigative agency must be entered for each case.

Participants - In LIONS, a participant is a defendant, witness, victim, piece of property to be forfeited, or any other individual, organization, or business associated with the case. Detailed information -- demographics, identification numbers, and property values -- can be stored for all types of participants. At a minimum, one defendant must be entered for each case.

Opposing Counsel - Opposing counsel at all stages of the case can be tracked.

Controlled Substance - Information on controlled substances includes type and quantity of all substances in the case.

Instrument/Charge/Count - A complete history of all charging instruments including all charges and counts by defendant are stored.

Events - Events are used to track the significant steps in the progression of the case. Events are created by your district and may be as specific or as general as the district wants them to be.

Related Cases - LIONS allows you to relate one case to another.

Case Notes - You can record information about the case. This feature was designed for AUSAs who want to maintain a summary of the case.

This chapter discusses how to open a criminal case. See **Chapter 6 - Criminal Updates and Closings**, for instructions on updates. Samples of the forms used are provided. See **Chapter 8** for instruction on appeals. If a field description includes (LOV), a list of code values is available on-line or in Appendix A – LIONS Code List.

Detailed coding procedures for the following criminal case types and situations are in Appendix E, Policy:

General

- Reinstatements

- Remands for New Trial

Criminal

- Contempt of Court

- Hung Jury

- Narcotics Task Force (OCDETF)

- Pretrial Diversion

- Unlawful Flight to Avoid Prosecution (UFAP)

- Appeal of a Magistrate Judge's Decision

- Post Disposition Proceedings

- Criminal Fraud

- Criminal Forfeiture

- Juveniles

Rule 40 Proceedings
Rule 20 Transfers
Remand for New Sentence

5.1. Criminal Initiation Procedures

When a new criminal file is received in the U.S. Attorney's Office (USAO), it is either declined immediately or a new criminal action is opened. Within LIONS, you must enter a declination record or initiate a criminal record.

5.2. Definitions

The following are the definitions for this section.

Immediate Declination. An immediate declination is an offense referred to the United States Attorney that does not warrant federal prosecution based on the facts and circumstances presented. No investigation is authorized and the offense is declined on the spot or "immediately." Less than one hour of AUSA time is required. There are two other types of "declinations" which should not be confused with immediate declinations.

Field Declinations. Complaints that the investigative agency declines based on its internal guidelines or those of the United States Attorney. These are not formally presented to the United States Attorney but the agency may inform the United States Attorneys' office periodically of the number of complaints it has declined. These field declinations are not included in the United States Attorneys' caseload statistics.

Matter Declinations. Occur when, prior to the filing of a complaint, information, or indictment, a decision is made not to continue with the investigation of a matter that has been opened in LIONS and is under consideration for prosecution.

Matter. An investigation of a Matter is a referral on which an attorney spends one hour or more of time and on which formal papers have not been filed with the Court. If a decision is made not to continue with the investigation, it is disposed of by declination and closed. Declination of an investigation should not be confused with an immediate declination.

Preliminary Proceeding or Miscellaneous Filing. Court filings such as for search warrants, Rule 5 hearings, etc., for which a Miscellaneous number is normally assigned. These are now distinguished from other District or Magistrate Court filings.

Case. A case begins with the assignment of any court number, other than a Miscellaneous number, below the Appeals Court level where the defendants are to be tried. When defendants are split out from a case and assigned new court numbers, you must open another case for those defendants.

Complaint. A complaint is a written statement filed with the Magistrate stating that a specified offense has been committed.

Information. An information is the formal accusation charging the defendant with a particular crime. An information is brought by the United States Attorney, rather than by a grand jury.

Indictment. An indictment is the formal accusation by a grand jury charging a defendant with a particular crime.

Felony. A felony is an offense punishable by death or imprisonment for a term exceeding one year.

Misdemeanor. A misdemeanor is an offense punishable by imprisonment for a term not exceeding one year without regard to fine amount.

Petty Offense or Citation. A petty offense is a Class B misdemeanor, a Class C misdemeanor, or an infraction, for which the maximum fine is not greater than the amount set forth for such an offense in 18 USC 3571(b)(6) or (7) in the case of an individual or 18 USC 3571(c)(6) or (7) in the case of an organization. All charges involving the Code of Federal Regulations (CFR) are Petty Offenses.

5.3. Immediate Declinations

Report an immediate criminal declination for any offense referred for prosecution which does not warrant federal prosecution based on the facts and circumstances presented. No investigation is authorized or less than one hour of AUSA time is required.

To initiate a criminal immediate declination, from the Main Menu click on **cRiminal** or press **ALT + R**. From the pull-down menu click on **Immediate Declination** or press the letter **I**. The Criminal Immediate Declination screen displays, as shown in Figure 5-1.

Figure 5-1. Criminal Immediate Declination

5.3.1. Case

The following explains the values to be entered for the Case screen.

Caption - Enter the reference name for the criminal action, based on local office procedure: e.g.; U.S. vs. John Williams. Tab to the next field or click on Recvd Date. LIONS will automatically generate a USAOID number.

Recvd Date (Received Date) - Enter the date the referral was received in the office. LIONS will default to today's date; however, it can be changed.

Lead Charge - The substantive statute that is the primary basis for the referral using the U.S. code, District of Columbia code, Virgin Islands code, Code of Federal Regulations (CFR), or State code. All characters are required. System Managers submit requests for new charge codes to TechOne. (LOV)

The following guidelines should be followed when selecting a lead charge:

It should be a substantive charge. Do not use a statutory reference to a penalty, jurisdiction, or "aiding and abetting" as the lead charge.

It should be reviewed when charges are filed, and modified as needed.

Do not assume that the lead charge is the charge in the first count. It may be listed in a later count.

While it is often the case, do not assume that the charge with the greatest potential sentence is the lead charge.

Prog Cat (Program Category) - Enter the code that best describes the type of criminal action. (LOV)

Branch - LIONS will default to the Branch of the person entering the declination. This code can be changed. (LOV)

5.3.2. Defendants

Enter the following information for each of the defendants in the referral:

Type - Enter the code that best describes the defendant. (LOV)

- I** Individual
- B** Business or organization
- P** Property to be forfeited

Role - The Role is limited to Defendant type. Select one of the following Defendant roles:

- D** Defendant

DJ Juvenile Defendant

DP Public Official Defendant

DG Gang Member Defendant

Name - If the Defendant is an individual, enter Last Name, First Name. If the defendant is a Business or a piece of Property, enter the Business or Property name.

Disp Reas (Disposition Reason) - Enter the appropriate Reason for the declination. (LOV)

If the program category is 053 (Triggerlock), another pop up window will display after the First Name field asking these two questions:

Was the defendant involved in the illegal use, possession, sale, receipt, transportation, transfer, purchase, or manufacture of a firearm or firearm accessories or ammunition?

Did the defendant's offense involve or implicate or was the offense discovered as a result of the National Instant Check System (Brady)?

Clicking the checkbox next to the question indicates a 'Yes' response. Leaving it blank indicates a 'No' response.

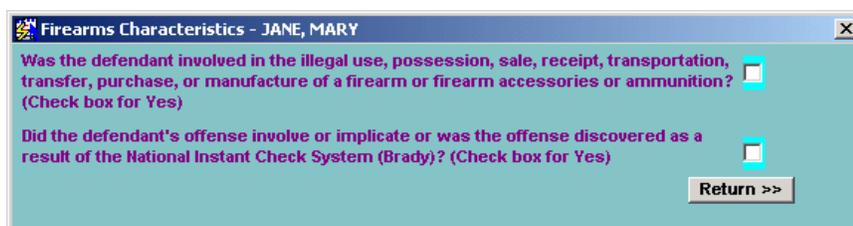


Figure 5-2. Firearms Characteristics Pop-up

If the program category is 036 (Financial Institution Fraud) and the participant is an individual defendant, another pop up window will display asking for job position. The job position must be a valid value (LOV).



Figure 5-3. Job Position Pop-up

5.3.3. Investigative Agency

The following explains the values to be entered for the Investigative Agency screen.

Agency - Enter the investigative agency that referred the criminal action to the office. If the agency has more than one location, select the appropriate one from the List of Values.

Agency # - Enter the file number assigned by the investigating agency that referred the criminal action.

5.3.4. Assignment

The following explains the values to be entered for the Assignment screen.

Lead AUSA - Enter the initials for the attorney who has authorized the declination. The name will automatically be filled in based on the initials entered. (LOV)

Victim Witness Coordinator - Enter the initials for the Victim Witness Coordinator.

This field is mandatory when Victim/Witness flag is Y. The name will automatically be filled in based on the initials entered. (LOV)

Start Date - The Start Date will default to the current date; however, it can be changed.

5.3.5. Disposition

The following explains the values to be entered for the Disposition screen.

Date - Enter the date the referral was declined. This date will default to today's date; however, it can be changed.

Reason - The first Reason should be the same as the Reason Code entered in the DEFENDANTS block. You can enter up to three Declination Reason codes. (LOV)

5.3.6. Case Comment

At local option, enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and then select Edit from the pull-down menu.

After you have finished entering a Criminal Immediate Declination, press F6 or Exit and Save. An option to print will be displayed after you have saved.

5.4. When to Open a Criminal File

General Rule. Open a criminal matter/case (new USAO Number) when:

An investigation is authorized and an attorney spends one hour or more working on the investigation.

A citation, complaint, information or indictment is filed in court.

A case on appeal in which the United States is a defendant is remanded to the District Court for a new trial.

Do not open a file for the following:

Information copies of investigative reports are sent to your office which are pending authorization by a DOJ Division. For example, criminal Tax or criminal Civil Rights investigations.

Cases remanded to the District Court for re-sentencing.

5.5. How to Initiate a Criminal LIONS File

There are two ways to initiate a criminal action in LIONS:

The **Criminal Short** form allows you to enter information quickly, by completing two screens. Relationships that need to be made on an individual basis in the Long form are done automatically in the Short form. For example, all defendants will be related to all charges, counts and events that you entered. In the Long form you have to tell LIONS which defendants get related to which events. It should be noted that using the Short form does not preclude entry of additional information at a later date.

It is recommended that this form be used for single defendant matters/cases or where all the defendants are related to all charges, counts and events entered. Do not enter participants who are not defendants through the Short form.

The **Criminal Long** form takes a little longer to complete, but you can capture more information; e.g., multiple program category codes, related case information, individual defendant information, aliases, and comments.

To initiate a criminal matter or case in LIONS, click on the Criminal option from the Main Menu or press **ALT + R**. From the pull-down menu, click on one of the following:

open case (Short form) or press the letter **S**

open case (Long form) or press the letter **L**

5.6. Criminal Short Form

After you enter the Caption and press TAB or ENTER, LIONS will automatically generate a USAOID number. You will also notice that the Received Date, US Role, Litigating Responsibility, and Branch have all been preset by LIONS.

Note: All preset (default) values can be changed unless otherwise noted.

Figure 5-4. Criminal Short Form (page 1)

USAOID - The USAO Number is generated by LIONS when a matter or case is opened. It is used to track the case throughout its life, including appeals.

Caption - Enter the reference name for the criminal action, based on local office procedures. Example: U.S. vs. John Williams.

5.6.1. Case

The following explains the values to be entered for the Case screen.

Recvd Date (Received Date) - Enter the date the criminal action was received in the office. The date cannot be greater than the current date. The Received Date defaults to the current date but it can be changed.

Priority - Enter the code that indicates whether a referral falls into a category assigned a priority by the Attorney General and/or the United States Attorney. The description of each Program Category in Appendix A includes whether it is a National Priority. (LOV)

Spec Proj (Special Project) - The EOUSA has established a series of codes for types of cases which are being monitored by its Priority Programs Team. These codes, which are described in Appendix A, will be used to flag cases in order to produce the special reports needed by the team. Enter the code that describes a special project category or enter **N** for "none of the above." (LOV)

Lead Charge - The substantive statute that is the primary basis for the referral using the U.S. code, District of Columbia code, Virgin Islands code, Code of Federal Regulations (CFR), or State code. All characters are required. System Managers submit requests for new charge codes to TechOne. (LOV)

The following guidelines should be followed when selecting a lead charge:

It should be a substantive charge. Do not use a statutory reference to a penalty, jurisdiction, or "aiding and abetting" as the lead charge.

It should be reviewed when charges are filed, and modified as needed.

Do not assume that the lead charge is the charge in the first count. It may be listed in a later count.

While it is often the case, do not assume that the charge with the greatest potential sentence is the lead charge.

Prog Cat (Program Category) - Enter the code that best describes the type of criminal action. (LOV) Only one Program Category can be entered when using the Short form. Additional information may be added using the General Update option.

US Role - Enter the code that specifies the government's position in the case. LIONS defaults to **P** (Plaintiff). (LOV)

Lit Resp (Litigating Responsibility) - Enter the office that has primary responsibility for the matter or case; e.g., the USAO, an agency attorney, a DOJ Division. When a matter or case is opened, the Lit Resp field defaults to **US** (Case Handled by USAO). If this is not correct it can be changed. (LOV)

If the Litigating Responsibility Code is **DJ**, **RD**, or **SD**, the appropriate DOJ Division code **MUST** be entered.

Domestic Terrorism: - You may select from the LOV a type of Domestic terrorism or No if none. There is also a section to add comments in. See Figure 5-5.

| DOMESTIC TERRORISM | |
|----------------------|---------|
| TH | Threats |
| | |
| | |
| COMMENTS | |
| <input type="text"/> | |

Figure 5-5. Domestic Terrorism Pop-up

DOJ Division - Enter the DOJ Division code, if applicable. Only one DOJ Division and DOJ Number can be entered when using the Short form. Additional information may be added using the General Update option.

Enter the DOJ Division if a DOJ Number has been provided, even if the Litigating Responsibility is **US**. If the Litigating Responsibility Code is **DJ**, **RD**, or **SD**, the appropriate DOJ Division code **MUST** be entered.

If a Case Number Exchange form has been supplied by the DOJ Division, enter the USAO Number on the form and return it to the Division.

If you previously entered an OCDETF Program Category Code (047), LIONS will automatically insert ZNTF as the DOJ Division. You must enter the number assigned by the Core City Administrative Unit in the file number field.

DOJ # - Enter the number assigned to the case by the DOJ Division, if applicable.

Restrict - Based on local office procedures, you can restrict access to a case to a certain group of users, provided you are a member of that group. Enter **Y** (Yes) to restrict access. Otherwise, enter **N** (No). (LOV)

Branch - Defaults to the Branch of the person entering the information; however, it can be changed. The codes for this field are established by your district. (LOV)

Weight - Based on local procedures, enter a code that further defines the complexity of the matter or case. This code can be used to measure the complexity of cases for assignment purposes. The codes for this field are established by your district. (LOV)

Unit - This code can be used to designate a group within the office responsible for the matter or case; e.g., Violent Crime Unit. The codes for this field are created by your district. (LOV)

Offense From (Offense From Date) - In cases where the offense occurred over a period of time, enter the beginning date. If the offense occurred on one day, enter that date. This information should be entered, if known, since it affects the collection of any fine that is imposed.

Offense To (Offense To Date) - For a continuing offense, enter the ending date.

Security - Based on local procedures, you may enter a code that describes the level of security for the criminal action. (LOV)

Type - If your office has established local case type codes, enter the code that further describes the nature of the criminal action. (LOV)

CV Pot (Civil Potential) - If there is a possibility of a civil action arising out of the criminal action; e.g., **A** (Asset Forfeiture Potential) or **M** (Monetary Loss to U.S.), enter an appropriate code. Otherwise, leave blank. (LOV)

Vic/Wit (Victim/Witness) -This field is mandatory. Valid values are Y (Yes), N (No), and W (Witness). If Victim/Witness flag is Y, then the Victim Witness Coordinator is also mandatory. If the Vic Indicator is Y and the agency is JUFB, the format of the agency file number must be in the format of NXXXX-YY-99999999. If the Vic Indicator is Y and the agency is PSUS, the format of the agency file number must be in the format of 9999-9999999-XXXX(9).

Note: If the FBI number does not contain a total of five characters before the first dash, you do not need to enter the leading zeros.

5.6.2. Court History

The following explains the values to be entered for the Court screen.

Court (and Court Location) - Enter the appropriate code; e.g., **DC** (District Court) for the court. The Court Code is required. You can also enter the location of the court. The location codes are established by your district. (LOV)

Regardless of the type of number assigned by the Clerk, use **MG** (Magistrate Court) if the defendant is to be tried before a Magistrate Judge.

The following codes are commonly used when opening a criminal case:

| | |
|-----------|----------------------------------|
| DC | District Court |
| MG | Magistrate Court |
| MM | Magistrate Court (Miscellaneous) |
| NC | Not in Court |

If the criminal action is **NC** (Not in Court) or **PN** (Post-Disposition Not in Court), the cursor will skip the remainder of the COURT HISTORY block and move to the COURT/STAFF ASSIGNMENT block.

App Type (Appeal Type) - This field is to be used for Appeal ONLY cases. See Chapter 8 for instructions on entering an Appeal.

Filing Date - Enter the date the criminal action was filed in court. This field is required when a court code other than **NC** (Not in Court), or **PN** (Post-Disposition Not in Court) has been entered.

Court # - Enter the docket number assigned by the court to the criminal action. This field is required when a court code other than **NC** (Not in Court), or **PN** (Post-Disposition Not in Court) has been entered.

Judge - Enter the initials of the Judge hearing the criminal action. The Judges name will be filled in based on the initials entered. The codes for this field are established by your district. (LOV)

Start Date - Enter the date the Judge was assigned to the case. If a Judge is entered, the Start Date defaults to the current date but it can be changed.

5.6.3. Assignment

In LIONS, you must enter the Lead AUSA for each case. If the Victim Witness Indicator is set to Y, you must also enter a Victim/Witness Coordinator. You can also track other employees assigned to a case; e.g., co-counsel, paralegals, etc. The first entry must be the **L** (Lead) attorney assigned to the criminal action. The Position field for the first entry will default to **L** (Lead). If the Victim Witness Indicator is set to Y, the system will prompt you to enter the initials for the Victim Witness Coordinator, and place a **V** (Victim Witness Coordinator) in the Position field if you have not entered one prior to exiting the Assignment block.

Inits (Initials) - Enter the initials of the staff member(s) assigned to the matter or case. The codes (initials) for this field are established by your district. LIONS will automatically fill in the staff member's name based on the initials entered. (LOV)

Position - Enter the code for staff member's position. LIONS will default the first entry to **L** (Lead). Only one Lead attorney may be open at a time. (LOV)

Lead AUSA - Enter the initials for the Lead Attorney assigned to the matter or case. The last name will automatically be filled in based on the initials entered. (LOV)

Victim Witness Coordinator - Enter the initials for the Victim Witness Coordinator.

This field is mandatory when Victim/Witness flag is Y. The name will automatically be filled in based on the initials entered. (LOV)

Start Date - LIONS will default to the current date; however, it can be changed.

If you have another staff member (assignment) to enter, press **F6** to insert or the **DOWN ARROW** to go to a blank line, otherwise, press **ENTER** or **CTRL + PAGE DOWN** to go to the INVESTIGATIVE AGENCY block.

5.6.4. Investigative Agency

Only the Investigative Agency may be entered when using the Short form. Other agencies may be added at any time using the General Update option.

Agency - Enter the code for the investigative agency that referred the criminal action to your office. (LOV)

Agency Office (READ ONLY) - This block is filled in based on the picklist of agencies previously entered by your district. This information can be used for document generation. See **Chapter 9** for more information. If you need to add or change agency offices see Chapter 6, Section 6.21.1, for instructions on adding or changing this information.

Agency # - Enter the number assigned to the action by the agency. This is required if the Victim/Witness Flag is "Y" and agency code is "JUFB" (FBI) or "PSUS".

Agnt Last Name/First Name (Agent's Name) - Enter the name of the agent in charge of the referral.

Lead Agent - This field is used to identify the Lead Agent in the matter or case. Enter Y if this is the Lead Agent. The Lead Agent can be used for document generation.

5.6.5. Participant

In LIONS, a "participant" is a defendant, witness, victim, piece of property to be forfeited, or any other individual, organization, or business associated with the case. At a minimum, one defendant participant must be entered. When using the Short form, enter only defendants. Additional participants can be added through update. See **Chapter 6, Section 6.19** for additional participant information.

Participants are related to the Court History. When a user initiates a criminal action, LIONS automatically relates all of the participants to the current Court History stage. Participant Court records are discussed in detail in Chapter 6 - Criminal Updates and Closings.

Figure 5-6. Criminal Short Form (Page 2)

Enter the following information for each defendant in the matter or case. Press **F6** to insert, or DOWN ARROW to add each subsequent participant.

Type - Enter the code that best describes the participant:

- I** Individual
- B** Business or organization
- P** Property to be forfeited

Role - Enter the code that best describes the type of defendant. At least one defendant is required in a criminal matter or case. When using the Short form, do not enter other types of participants.

- D** Defendant
- DJ** Juvenile Defendant
- DP** Public Official Defendant
- DG** Gang Member Defendant

Name - If the participant has a Type of **I** (Individual), a pop-up window displays to prompt you for the participant's last name and first name.

If the participant has a Type of **B** (Business) or **P** (Property) enter the business or organization or the property name in the field provided.

If the name search feature is activated, LIONS will check the database for this name.

If the program category is 053 (Triggerlock), another pop up window will display after the First Name field asking these two questions:

Was the defendant involved in the illegal use, possession, sale, receipt, transportation, transfer, purchase, or manufacture of a firearm or firearm accessories or ammunition?

Did the defendant's offense involve or implicate or was the offense discovered as a result of the National Instant Check System (Brady)?

Clicking the checkbox next to the question indicates a 'Yes' response. Leaving it blank indicates a 'No' response.

If the program category is 036 (Financial Institution Fraud) and the participant is an individual defendant, another pop up window will display asking for job position. The job position must be a valid value (LOV).

EIN/SSN/CATS - Enter the IRS Employer Identification Number (EIN) for a business participant; enter the Social Security Number (SSN) for an individual participant; enter the Consolidated Asset Tracking System (CATS) number for a property participant.

Opp Coun Initials (Opposing Counsel Initials) - Enter the initials of the Opposing Counsel for the participant.

OppType (Opposing Counsel Type) - Enter the type of counsel; e.g., **AP** (Appointed).

Start Date - Enter the Start Date for the opposing counsel.

5.6.6. Controlled Substance

Only one substance may be entered in the Short form. Additional substances may be added at any time using the General Update option.

Type - Enter the code that describes the type of controlled substance under investigation; e.g., **K** (Crack Cocaine). (LOV)

Other - If the type of controlled substance is **O** (Other), enter a brief description. Required if Type is **O**.

Quantity - Enter the actual quantity of the controlled substance seized. Fractions must be converted to one or two place decimals. For example, **22-1/4 = 22.25**.

Measure - Enter the code that explains the measure of the controlled substance; e.g., **K** (Kilos). Required if Quantity has been entered. (LOV)

5.6.7. Instrument

If you entered a Court code of **NC** (Not in Court) or **PN** (Post-Disposition Not in Court) in the COURT HISTORY block, LIONS will skip the INSTRUMENT and CHARGE/COUNT blocks and move you to the EVENT block.

Instrument Type - Enter the appropriate code; e.g., **CO** (Complaint), **IN** (Indictment). Required for criminal actions that have been filed in any court. (LOV)

For all Petty Offenses in Magistrate Court, use **CI** (Citation) as the instrument type.

Filing Date - The filing date will default to the Court Filing Date. Required if Instrument has been entered.

5.6.8. Charge/Count

Enter the following information for each charge listed in the charging instrument. Note that only one charge per count should be entered. The other statutory references in a count may be jurisdiction, aiding and abetting, or penalties. Click the Seal Charges? checkbox to seal all counts for all defendants.

Charge - Enter the charge, including section and subsection. All characters are required. System Managers submit requests for new charge codes to TechOne. (LOV)

Penalty Provision - Enter the penalty provision, if applicable. (LOV)

Also, this field accepts Code of Federal Regulations.

Category - Enter one of the following. (LOV)

- F** Felony
- M** Misdemeanor
- P** Petty Offense

If the Charge is from the Code of Federal Regulations (CFR), the category must be **P** (Petty Offense).

Count - If the charge appears in only one count, enter the number of that count. If the charge appears in more than one count and the counts are sequential, enter the first count followed by a dash and then the last count; e.g., 3-9. If the charge appears in more than one count and the counts are not sequential,

enter the first count, press the DOWN ARROW to move down to the next field and enter the second count, etc.

If there are more Charges in the Instrument, press CTRL + PAGE UP to return to the CHARGE/COUNT block. Repeat the above procedure for each charge in the charging instrument. When all charges have been entered, press CTRL + PAGE DOWN to go to the EVENT block.

All charges/counts will automatically be attached to all participants when using the Short form.

5.6.9. Event

The EVENT block is a scrollable block. The scroll bar at the bottom of the block means that there is more information than what appears on the screen. Click on the left and right arrow keys on the scroll bar to move back and forth within the block.

Event - Enter the code that best describes the event.

Note: Districts may create event codes at their discretion. (LOV)

Action - Enter the code that further describes the event; e.g., FI (Filed). (LOV)

Event Date - Enter the date the event occurred. If you are scheduling an event, leave this field blank.

Date Scheduled - Enter the date an event is scheduled to take place, if applicable. If an Event is entered, you must enter an Event Date or a Scheduled Date. Scheduled Dates will appear on staff members' calendars.

Time Scheduled - Enter the time an event is scheduled to take place. Scheduled times will also appear on staff member's calendars.

Staff Initials - LIONS will automatically fill in the initials of the Lead Attorney. If this is incorrect, enter the appropriate attorney/staff initials. LIONS automatically fills in the last name of the staff member.

Doc Code (Document Code) - Enter the document number for document generation purposes, if needed. See Chapter 9 for information regarding Document Generation.

Doc Staff Initials (Document Staff Initials) - LIONS will default to the initials of the person that has logged into LIONS. This cannot be changed. Used by Document Generation.

Document Date - Will default to the current date. It is used by Document Generation when setting the date range for documents to be produced in batch. If it is necessary to regenerate a document, the date can be changed.

Location Scheduled - Enter a free-form description of the location of the scheduled event. Used by Document Generation.

Judge Initials - Enter the initials of the Judge involved in the event or scheduled event. LIONS will fill in the Judge's last name based on the initials entered. Used by Document Generation.

Event Comment - Enter comment about event.

If you have another event to enter, press F6 to insert or the DOWN ARROW to go to a blank line.

To save and exit the form click on the **Exit** icon then click on **Yes**.

To save and continue with the Criminal Short form, CTRL + PAGE UP to the Caption block, press F6 and click on **Yes** to save.

To exit without saving, click on the **Exit** icon and then click on **No**.

5.7. Criminal Long Form

5.7.1. Case

When you press ENTER, TAB, or CTRL + PAGE DOWN after entering the Caption, LIONS will automatically generate a USAOID. You will notice that the Received Date, US Role, Litigating Responsibility, Status, and Branch are preset. With the exception of the Status field, all preset values can be changed.

USAOID - The USAOID (USAO Number) is generated by LIONS when a matter or case is opened. It is used to track the case throughout its life, including appeals.

Caption - Enter the reference name for the criminal action, based on local office procedures. Example: U.S. vs. John Williams.

Recvd Date (Received Date) - Enter the date the criminal action was received in the office. The date cannot be greater than the current date. The Received Date defaults to the current date but it can be changed.

Status - LIONS automatically sets this to **A** (Active) when a matter or case is opened.

Priority - Enter a code to indicate whether the referral falls into a category assigned a priority by the Attorney General and/or the United States Attorney. See the definition of each Program Category in Appendix A to determine if the case is a priority of the Attorney General. (LOV)

Figure 5-7. Criminal Long Form

Lead Charge - The substantive statute that is the primary basis for the referral using the U.S. code, District of Columbia code, Virgin Islands code, Code of Federal Regulations (CFR), or State code. All characters are required. System Managers submit requests for new charge codes to TechOne. (LOV)

The following guidelines should be followed when selecting a lead charge:

It should be a substantive charge. Do not use a statutory reference to a penalty, jurisdiction, or "aiding and abetting" as the lead charge.

It should be reviewed when charges are filed, and modified as needed.

Do not assume that the lead charge is the charge in the first count. It may be listed in a later count.

While it is often the case, do not assume that the charge with the greatest potential sentence is the lead charge.

Spec Project (Special Project) - The EOUSA has established a series of codes for types of cases which are being monitored by its Priority Programs Team. These codes, which are described in Appendix A, will be used to flag cases in order to produce the special reports needed by the team. Enter the code or codes that describe a special project category. A pop-up block is provided so that you can enter more than one Special Project. If you have more than one Special Project to enter, press **F6** to insert or the DOWN ARROW to go to a blank line. Otherwise, press ENTER. If you insert or arrow down to a blank line and then change your mind, press **SHIFT + F6** to return to the previous line and then press ENTER or CTRL + PAGE DOWN. (LOV)

Prog Cat (Program Category) - Enter a code or codes that best describe the type of criminal action. A pop-up block is provided so that you can enter more than one Program Category. If you have more than one Program Category to enter, press **F6** to insert or the DOWN ARROW to go to a blank line. Otherwise, press ENTER. If you insert or arrow down to a blank line and then change your mind, press **SHIFT + F6** to return to the previous line and then press ENTER or CTRL + PAGE DOWN. (LOV)

Enter the most important code first.

For cases in which the United States has special jurisdiction, e.g., assimilated crimes or offenses in Indian country, enter one of the following program categories, in addition to the substantive action:

- **065** Indian Offenses
- **084** Assimilate Crimes

US Role - Enter the code that specifies the government's position in the case. LIONS defaults to **P** (Plaintiff). If this is not correct it can be changed. (LOV)

Lit Resp (Litigating Responsibility) - Enter the office that has primary responsibility for the matter or case; e.g., the USAO, an agency attorney, a DOJ Division. When a matter or case is opened, the Lit Resp field defaults to **US** (case handled by USAO). If this is not correct it can be changed. (LOV)

Domestic Terrorism - You may select a type of Domestic Terrorism from the LOV, as shown below, or No, if none. There is also a section to add comments.

Figure 5-8. Domestic Terrorism Screen

Status - LIONS automatically sets this to **A** (Active) when a matter or case is opened.

DOJ Division - Enter a code or codes for DOJ Division. A pop-up block is provided so that you can enter more than one DOJ Division. If you have more than one DOJ Division to enter, press **F6** to insert or the DOWN ARROW to go to a blank line. Otherwise, press ENTER. If you arrow down to a blank line and then change your mind, press **SHIFT + F6** to return to the previous line and then press ENTER. (LOV)

Figure 5-9. DOJ Division Pop-up

Enter the DOJ Division if a DOJ Number has been provided, even if the Litigating Responsibility is **US**. If the Litigating Responsibility Code is **DJ**, **RD**, or **SD**, the appropriate DOJ Division code **MUST** be entered.

If a Case Number Exchange form has been supplied by the DOJ Division, enter the USAO Number on the form and return it to the Division.

If you previously entered an OCDETF Program Category Code (047), LIONS will automatically insert ZNTF as the DOJ Division. You must enter the number assigned by the Core City Administrative Unit in the file number field.

DOJ Number - If a DOJ Division has been entered, enter the file number assigned by the DOJ Division. This field is required if a DOJ Division has been entered.

Restrict - Based on local office procedures, you can restrict access to a case to a certain group of users, provided you are a member of that group. Enter **Y** (Yes) to restrict access. Otherwise, enter **N** (No). (LOV)

You can only restrict cases to a group to which you belong. If you enter a **Y** in the Restrict field, you will receive the message shown in Figure 5-10 when you leave the CASE block.

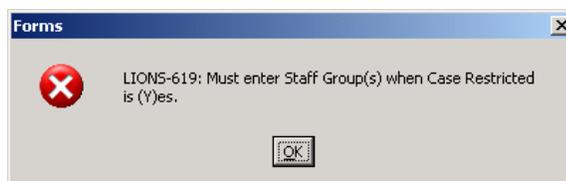


Figure 5-10. Case Restricted Message

When you click **OK**, the STAFF GROUP form shown in Figure 5-11 will be displayed.

Figure 5-11. Staff Group Form

Staff Group - Enter the group to which the case is restricted.

To exit the Staff Group form, click on the **Exit** icon or press **ALT + A** and then press **E**.

Branch - Defaults to the Branch of the person entering the information. However, it can be changed. The codes for this field are established by your district. (LOV)

Unit - This code can be used to designate a group within the office responsible for the matter or case; e.g., Violent Crime Unit. The codes for this field are created by your district. (LOV)

GJ # - Enter the Grand Jury Panel Number, if applicable.

Offense Fr (Offense From Date) - In cases where the offense occurred over a period of time, enter the beginning date. If the offense occurred on one day, enter that date. This information should be entered, if known, since it affects the collection of any fine that is imposed.

Offense To (Offense To Date) - For a continuing offense, enter the ending date.

Security - Based on local procedures, users may be prohibited from seeing a case based on the code in this field. Enter a code that describes the level of security for this criminal action, if appropriate. (LOV)

Type - If your office has established local case type codes, enter the code that further describes the nature of the criminal action. (LOV)

Weight - Based on local procedures, enter a code that further defines the complexity of the matter or case. This code can be used to measure the complexity of cases for assignment purposes. The codes for this field are established by your district. (LOV)

CV Potent (Civil Potential) - If there is a possibility of a civil action arising out of the criminal action, e.g., **A** (Asset Forfeiture Potential) or **M** (Monetary Loss to U.S.), enter the appropriate code. Otherwise, leave blank. (LOV)

Vic/Wit (Victim/Witness) - This field is mandatory. Valid values are Y (Yes), N (No), and W (Witness). If Victim/Witness flag is Y, then the Victim Witness Coordinator is also mandatory. If the Vic Indicator is Y and the agency is JUFb, the format of the agency file number must be NXXXX-YY-99999999. If the Vic Indicator is Y and the agency is PSUS, the format of the agency file number must be in the format of 9999-9999999-XXXX(9).

Note: If the FBI number does not contain a total of five characters before the first dash, you do not need to enter the leading zeros.

Tribe - Enter the appropriate Native American tribe, if applicable. This field should be entered when the United States has jurisdiction over a criminal offense which occurred on a Native American reservation. (LOV)

Reserv (Reservation) - Based on local procedures, enter the Native American reservation or military installation associated with the matter or case. The codes for this field are established by your district. (LOV)

Related Flu Flag - Checked means there is a related FLU case, and unchecked means there is not a related FLU case.

Total Victims - List total number of victims for the case.

When you have finished entering the CASE information, press **TAB**, **ENTER**, or **CTRL + PAGE DOWN** to go to the COURT HISTORY block.

5.7.2. Court History

The following explains the values to be entered for the Court History screen.

Court (and Court Location) - Enter the appropriate court code; e.g., **DC** (District Court). You can also enter the location of the court. The court location codes are established by your district. The Court Code is required, but the Court Location is not. (LOV)

Regardless of the type of number assigned by the Clerk, use **MG** (Magistrate Court) if the defendant is to be tried before a Magistrate Judge.

The following codes are commonly used when opening a criminal cases:

DC District Court

MG Magistrate Court

MM Magistrate Court (Miscellaneous)

NC Not in Court

If the criminal action is **NC** (Not in Court) or **PN** (Post-Disposition Not in Court), the cursor will skip the remainder of the COURT HISTORY block and move to the COURT/STAFF ASSIGNMENT block.

Appeal Type - This field is to be used for Appeal ONLY cases. See Chapter 8 for instructions on entering an Appeal.

Filing Date - Enter the date the criminal action was filed in court. This field is required when a court code other than **NC** (Not in Court), or **PN** (Post-Disposition Not in Court) has been entered.

Court # - Enter the number assigned by the court to the criminal action. This field is required when a court code other than **NC** (Not in Court), or **PN** (Post-Disposition Not in Court) has been entered.

Judge - Enter the initials of the Judge hearing the criminal action. The Judge's name will be filled in based on the initials entered. The codes for this field are established by your district.

Start Date - If a Judge is entered, the Start Date defaults to the current date; however, it can be changed.

Disp, Disp Date (Disposition, Disposition Date): These are READ ONLY fields on this screen and are not relevant to matter/case initiation.

When you have finished entering the COURT HISTORY information, press **TAB**, **ENTER**, or **CTRL + PAGE DOWN** to go to the COURT/STAFF ASSIGNMENT block.

5.7.3. Court/Staff Assignment

In LIONS, you must enter the Lead AUSA for each case. If the Victim Witness Indicator is set to Y, you must also enter a Victim/Witness Coordinator. You can also track other employees assigned to a case; e.g., co-counsel, paralegals, etc. The first entry must be the **L** (Lead) attorney assigned to the criminal action. The Position field for the first entry will default to **L** (Lead). If the Victim Witness Indicator is set to Y, the system will prompt you to enter the initials for the Victim Witness Coordinator, and place a V

(Victim Witness Coordinator) in the Position field if you have not entered one prior to exiting the Assignment block.

| Inits | Last Name | First Name | Position | Start Date | End Date |
|-------|-----------|------------|----------|-------------|----------|
| ABP | Parham | Brad | L | 04-AUG-2006 | |
| | | | | | |
| | | | | | |
| | | | | | |

FRI, 04-AUG-2006 <<S><U><D>

Figure 5-12. Court/Staff Assignment Block

Inits (Initials) - Enter the initials of the staff member(s) assigned to the matter or case. The codes (initials) for this field are established by your district. LIONS will automatically fill in the staff member's name based on the initials entered. (LOV)

Position - Enter the code for staff member's position. LIONS will default the first entry to **L** (Lead). Only one Lead attorney may be open at a time. (LOV)

Victim Witness Coordinator - Enter the initials for the Victim Witness Coordinator. This field is mandatory when Victim/Witness flag is Y. The name will automatically be filled in based on the initials entered. (LOV)

Start Date - LIONS will default to the current date; however, it can may changed by pressing TAB or Clicking into the start date field.

End Date - This field should be blank when opening a new matter or case. Use this field to record the date a staff member's involvement in the criminal action ended.

If you have another staff member (assignment) to enter, press **F6** to insert or the DOWN ARROW to go to a blank line, otherwise, press **ENTER** or **CTRL + PAGE DOWN** to go to the AGENCY block.

5.7.4. Agency

You can enter Agency/Agent information for one or more agencies; e.g., investigative, "victim," etc. LIONS will default the Role of the first agency to IN (investigative). Every criminal matter or case **MUST** have at least one investigative agency.

| Ro | Agency Code and Description | Agency Number |
|----|-------------------------------------------------------|---------------|
| IN | AGCC Farm Service Agency/Commodity Credit Corporation | |
| | | |
| | | |

Figure 5-13. Agency Block

Ro (Role) - Enter the Role for the Agency. LIONS defaults the Role for the first agency entered to **IN** (Investigative). Every criminal matter or case **MUST** have at least one investigative agency. (LOV)

If you enter an Agency Role of **VA** (Victim Agency), such as in a fraud case, you will receive a pop-up block that will allow you to capture the Estimated \$ Loss or the Actual \$ Loss to the Victim Agency.

USAOID: 2006R00942 Caption: Mary Johnson vs USA

Est Loss Actual Loss

| Ro | Agency Code and Description | Agency Number |
|----|-------------------------------------------------------|---------------|
| IN | AGCC Farm Service Agency/Commodity Credit Corporation | |
| VA | AGCC Farm Service Agency/Commodity Credit Corporation | |
| | | |

Figure 5-14. Victim Agency Pop-up

Participants are related to the Court History. When a user *initiates* a criminal action, LIONS automatically relates all of the participants to the current Court History stage. Participant Court records are discussed in detail in Chapter 6 - Criminal Updates and Closings.

Enter the following information for each participant in a matter or case. Press **F6** to insert, or the DOWN ARROW to go to a blank line to add each subsequent participant.

Type - Enter the code that best describes the participant:

- I** Individual
- B** Business or organization
- P** Property to be forfeited

Role - Enter the code that best describes the participant; e.g., **D** (Defendant). At least one defendant with one of the following codes is required in a criminal matter or case:

- D** Defendant
- DJ** Juvenile Defendant
- DP** Public Official Defendant
- DG** Gang Member Defendant

If the Role denotes a victim, e.g., **VI** (Victim), a pop-up window (shown below) displays to prompt you for additional Victim/Witness information:

| Victim Type | Prosec | Victim No | Threat | Elderly |
|----------------------|----------------------|----------------------|----------------------|----------------------|
| <input type="text"/> |

Figure 5-16. Victim Participant

Victim Type - Is this a Primary or Secondary victim? A primary victim is defined as the individual or organization against whom a crime was committed. The secondary victim is family or other individuals who have been affected by the crime; e.g., the relative of a homicide victim. (LOV)

Prosec (Prosecution) - Does the victim want to prosecute **Y** (Yes) or **N** (No)? (LOV)

Victim No. - The number of times the person has been a victim. (LOV)

Threat - Has the victim been threatened? (LOV)

Elderly - Is the victim elderly? (LOV)

Def (Defendant Number) - This column is used to order defendants based on the way they were named in a charging instrument if different from the way they were originally entered into LIONS.

Note: The order of the participants will not change on the screen.

Name - If the participant has a Type of **I** (Individual), a pop-up block displays to prompt you for the participant's last name and first name.

If the participant has a Type of **B** (Business) or **P** (Property) enter the business or property name in the field provided.

If the name search feature is activated, LIONS will check the database for this name.

Disposition (Read Only) (Lower Court) (Appeal Court) - These READ ONLY fields include **Di** (Disposition), **Disposition Reas** (Reason), and **Disp Date** (Disposition) for both courts. These READ ONLY fields will be blank when initiating a criminal action.

The code entered in the Type field determines the next set of screens used to provide more detailed information about the Participant.

If the Type of Participant is **I** (Individual), continue with the instructions in Section 5.7.6.1.

If the Type of Participant is **B** (Business), continue with instructions in Section 5.7.6.2.

If the Type of Participant is **P** (Property), continue with instructions in Section 5.7.6.3.

5.7.6.1. Individual Participant

Additional information about individual participants is available for local use and is not required, with the exception of Job Position which is required with a program category of 036.

The screenshot shows a software window titled "LIONS - CRIMINAL OPEN LONG - [copen:1.48]". The menu bar includes "Action", "Edit", "Record", "Query", "Window", and "Help". The main area displays a form for an individual participant. At the top, the "USAOID" is 2006R00942 and the "Caption" is "Mary Johnson vs USA". The form is titled "INDIVIDUAL" and contains the following fields:

- Last Name: Howard
- First Name: Lory
- Role: VI
- Salutation: [empty]
- Title: [empty]
- Job Pos: [empty]
- Arrest Date: [empty]
- Gender: [empty]
- Weight: [empty]
- SSN#: [empty]
- DOB: [empty]
- Juvenile: N No
- Crim Hist: [empty]
- FBI #: [empty]
- PDID#: [empty]
- Marshal #: [empty]
- Tribe: [empty]
- Reserv: [empty]
- Immig St: [empty]
- Country: [empty]
- Est Loss: [empty]
- Act Loss: [empty]

Below these are address and contact fields:

- Home Address: [empty]
- Office Address: [empty]
- City: [empty] State: [empty]
- City: [empty] ST: [empty]
- Zip: [empty] Cnty: [empty]
- Zip: [empty] Cnty: [empty]
- Phone: [empty] FAX: [empty]
- Phone: [empty] FAX: [empty]

At the bottom of the form, there is a date field "FRI, 04-AUG-2006", a "Skip" button, and navigation arrows.

Figure 5-17. Individual Participant

Last Name, First Name, and Role - Names and Role are carried over from the Participant block. (LOV)

Salutation - This field is used in conjunction with document generation. Enter Mr., Mrs., Ms., etc.

Title - Enter the individual's official title; e.g., Attorney-at-Law, Professor of Criminology, etc.

Job Pos (Position) - This field can be used to track the participant's job or position in an organization if relevant to the case. This field must be entered when a Program Category Code of **036** (Financial Institution Fraud) has been entered. Enter the participant's job position, if applicable. (LOV)

Arrest Date - Enter date, if applicable.

Gender - Enter **M** (Male) or **F** (Female). (LOV)

Weight - Based on local procedures, enter a code that further defines the complexity of the matter or case. This code can be used to measure the complexity of cases for assignment purposes. The codes for this field are established by your district. (LOV)

SSN# (Social Security Number) - Enter the individual's social security number.

DOB (Date of Birth) - Enter the Individual's date of birth.

Juvenile - Enter **Y** to identify juveniles. This indicator must be set to **Y** if the defendant was a juvenile at the time of the offense. This includes juveniles who are to be prosecuted as adults. (LOV)

Crim Hist (Criminal History) - Enter **Y** if the participant has a criminal history. Enter **N** if there is no known criminal history. (LOV).

FBI # - Enter the number assigned to the case by the Federal Bureau of Investigation, if applicable.

PDID # - Enter the Police Department Identification Number, if applicable.

Marshal # - The Marshal Number is now mandatory for any defendant sentenced where the case has a Victim Witness Indicator of Y (Yes).

Tribe - Enter the appropriate code if the individual is a member of a Native American tribe. (LOV)

Reserv (Reservation) - Enter Native American tribes or Military Reservations, if applicable. (LOV)

Immig St (Immigration Status) - Enter the participant's immigration/citizenship status. (LOV).

Note: There must be an Immigration Status if Country is not US.

Country - Enter country of origin, must have Immigration Status if the country is not USA. (LOV)

Est Loss (Estimated Loss) - Used to track estimated monetary losses to the U.S. Enter a dollar amount, if applicable.

Act Loss (Actual Loss) - Used to track actual monetary losses to the U.S. Enter a dollar amount, if applicable.

Office and Home Address, Phone and Fax Numbers - Fields are available for the individual's home and office address and phone and fax numbers. These fields can be used for Document Generation. When you have finished entering the Individual Participant information, press **CTRL + PAGE DOWN** or click the Next Page button to go to the DEFENDANT STATUS block.

Note: When the Role of the Participant is Defendant, the sequence of blocks is different than the sequence for other Participant Roles. For example, Defendant Status information is only applicable to Defendant Participants, and, consequently, is not displayed for other Role types.

5.7.6.1.1. Defendant Status

The status of a defendant can be tracked in LIONS by entering multiple defendant status records as the matter or case progresses. If the participant is not a defendant, LIONS will bypass this block and display the Alias block.

DEFENDANT STATUS 1 OF 1

Status: Start Date:

Deten Reason:

Custody Loc: Bond Type:

Bond Provider: Bond Amount:

End Date: Term Reason:

Figure 5-18. Defendant Status Block

Status - Enter the code that designates the status of the defendant. The following defendant status codes must be used, if applicable: (LOV)

JS - Juvenile to be Prosecuted as an Adult

FU - Fugitive

Start Date - Enter the date the status began. This field is required if a status has been entered.

Deten Reason (Detention Reason) - If the defendant has been detained, enter a code to describe why; e.g., PROC (Protective Custody). (LOV)

Custody Loc (Custody Location) - If the defendant is in custody, enter the code which designates the location. The codes for this field are created by your district. (LOV)

Bond Type - Enter a code that describes the type of bond (CB for Cash Bond, for example). This field is required if a Status of **BO** (Bond) has been entered. (LOV)

Bond Provider - Enter the name of the bondsman, if applicable.

Bond Amount - Enter the amount of the bond, if applicable. This field is required if the Bond Type is **CB** (Cash Bond).

End Date - Enter the date the status for the defendant changed.

Term Reason (Termination Reason) - Enter the reason a defendant's status changed. This field is required if an End Date has been entered. (LOV)

5.7.6.1.2. Firearms Characteristics

When you have finished entering the Defendant Status information, press **CTRL + PAGE DOWN** or click the Next Page button to go to the following triggerlock/firearm information:

Was the defendant involved in the illegal use, possession, sale, receipt, transportation, transfer, purchase, or manufacture of a firearm or firearm accessories or ammunition?

Did the defendant's offense involve or implicate or was the offense discovered as a result of the National Instant Check System (Brady)?

Clicking the checkbox next to the question indicates a 'Yes' response. Leaving it blank indicates a 'No' response.

5.7.6.1.3. Health Care Fraud Form

This is for Health Care Fraud Cases only.

The screenshot shows a form titled "HEALTH CARE FRAUD CASES (ONLY)". The form contains the following fields:

- NPI: [input field]
- Occupation: [input field] Other Occup Desc: [input field]
- Employer: [input field]
- Employer Type: [input field] Other Employ Desc: [input field]
- Employer Address: [input field] City: [input field]
- State: [input field] Zipcode: [input field]
- County: [input field]
- Employer Phone: [input field] Employer Fax: [input field]

Figure 5-19. Health Care Fraud Cases (Only) Block

NPI - This is the National Provider Identification code.

Occupation - Code that identifies the Occupation/Field of Licensure (LOV)

Other Occup Desc - Other Occupation/Field of Licensure

Employer - Name of Individual's employer.

Employer Type - Code which describes type of employer (LOV)

Other Employ Desc - Other Employer Type Description

Employer Address - Address of the employer.

Employer Phone - Phone number of the employer.

Employer Fax - Fax number of the employer.

5.7.6.1.4. Alias

| Last Name | First Name |
|-----------|------------|
| | |
| | |
| | |
| | |
| | |

Figure 5-20. Alias Block

Alias Last Name/First Name - Enter an alias for the participant, if applicable.

When you have completed entering the Alias information, press **CTRL + PAGE DOWN** or click the Next Page button to go to the RELATED PARTICIPANT block.

5.7.6.1.5. Related Participant

The following explains the values to be entered for the Participant screen.

| Name | Role | Reason |
|------|------|--------|
| | | |
| | | |
| | | |
| | | |
| | | |

Figure 5-21. Related Participant Block

Name - You can relate one participant in a case to another participant in the same case; e.g., relate a claimant to a piece of property. Participants for this block must be chosen by pressing **F9** and selecting a participant name and pressing **ENTER**. (LOV)

Role - Enter the role of the participant. (LOV)

Reason - Enter the code that describes why one participant in a case is related to another participant in the same case. This is required if a name has been selected from the List of Values. (LOV)

When you have finished relating participants, press **CTRL + PAGE DOWN** or click on the Next Page button to enter **OPPOSING COUNSEL** information.

5.7.6.1.6. Opposing Counsel

The following explains the values to be entered for the Opposing Counsel screen.

| Inits | Name | Type | Start Date | End Date |
|-------|------|------|------------|----------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |

Figure 5-22. Opposing Counsel Block

Inits (Initials) - Enter the initials of the opposing counsel. The codes (initials) for this field are established by your district. (LOV)

If the opposing counsel is not in the database, you can add it by pressing **F3** to **GoTo** the Opposing Counsel Picklist. See **Chapter 6 - Criminal Updates and Closings, Section 6.21.2**, for additional instructions. When you exit the Picklist screen, LIONS will return to the Opposing Counsel Screen.

Name - The name will be filled in based on the initials entered.

Type - Enter the code that describes the type of counsel (**AP** for Appointed, for example). (LOV)

Start Date - Enter the date the opposing counsel became involved in the case.

End Date - This field is not relevant when opening a matter or case. Use this field to record the date the opposing counsel's involvement in the case ended.

When you have completed entering the Opposing Counsel information, press **CTRL + PAGE DOWN** or click the Next Page button to go to the PARTICIPANT COMMENTS block.

5.7.6.1.7. Participant Comments

The following explains the values to be entered for the Participant Comments screen.

PARTICIPANT COMMENTS

Go back to Participant screen []

Figure 5-23. Participant Comments Block

Participant Comments - This field is available to supplement the information about the participant. Enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and select **Edit** from the menu.

If you have another participant to enter, put an **X** in the box labeled "Go back to participant screen," and then press **TAB** or **ENTER**. Otherwise, press **CTRL + PAGE DOWN** or click the Next Page button to go to the next screen. If this is the last participant, go to **Section 5.7.7** for instructions on Controlled Substance.

5.7.6.2. Business Participant

You can enter more detailed information about the business or organization; e.g., type of business, EIN number, business contact, and the business address. All fields on this screen are optional.

The screenshot shows a software window titled "LIONS - CRIMINAL OPEN LONG - [copen:1.48]". At the top, there are menu options: Action, Edit, Record, Query, Window, Help. Below the menu, there are two input fields: "USAOID: 2006R00942" and "Caption: Mary Johnson vs USA". The main area is titled "BUSINESS" and contains several form fields:

- Name: ABC Partners
- Role: OT, Type: [empty], EIN: [empty]
- Contact Name: [empty]
- Est Loss: [empty], Act Loss: [empty]
- Address: [empty]
- City: [empty], State: [empty], Zip: [empty]
- County: [empty], Phone: [empty], FAX: [empty]

 Below this is a section "HEALTH CARE FRAUD CASES (ONLY)" with "Health Care Type: [empty]" and "Other Health Care: [empty]". At the bottom, there is a status bar with "FRI, 04-AUG-2006" and a "Skip" button with navigation arrows.

Figure 5-24. Business Participant

Name/Role - This information is carried over from the Participant block.

Type - Enter the locally established code that describes the type of business. (LOV)

EIN - Enter the Employer Identification Number of the business or organization.

Contact Name - Enter the name of the individual who serves as your contact for the business or organization.

Est Loss (Estimated Loss) - Enter an estimate of the monetary loss to the Government.

Act Loss (Actual Loss) - Enter an actual monetary loss to the Government.

Address, Phone, and Fax Information - Enter the address and telephone numbers.

When you have finished entering the Business Participant information, press **CTRL + PAGE DOWN** or click the Next Page button to go to the DOING BUSINESS AS block.

Health Care Fraud Cases (only) - This is for Health Care Fraud Cases only.

Health Care Type - Enter the value for health care business type. (LOV)

Other Health Care - Text entry allowed only when the code of Health Care Type is "999", Other Type Not Classified.

5.7.6.2.1. Doing Business As (DBA)

The following explains the values to be entered for the DBA screen.

Doing Business As (DBA) - You can enter another name for the business, if applicable. More than one DBA can be entered.

The screenshot shows a window titled "DOING BUSINESS AS". It contains a vertical list of seven empty text entry fields, each with a small arrow on the right side, indicating a scrollable list. The background is light blue.

Figure 5-25. Doing Business As Block

5.7.6.2.2. Related Participant

When you have finished entering the DBA information, press **CTRL + PAGE DOWN** or click the Next Page button to go to the RELATED PARTICIPANT block.

| RELATED PARTICIPANT | | |
|---------------------|------|--------|
| Name | Role | Reason |
| | | |
| | | |
| | | |
| | | |
| | | |

Figure 5-26. Related Participant Block

Name - You can relate one participant in a case to another participant in the same case; e.g., relate a claimant to a piece of property. Participants for this block must be chosen by pressing **F9** and selecting a participant name. (LOV)

Role - Enter the role of the participant. (LOV)

Reason - Enter the code that describes why one participant in a case is related to another participant in the same case. This is required if a name has been selected from the List of Values. (LOV)

5.7.6.2.3. Business Opposing Counsel

When you have finished relating participants, press **CTRL + PAGE DOWN** or click on the Next Page button to enter OPPOSING COUNSEL information.

| OPPOSING COUNSEL | | | | |
|------------------|------|------|------------|----------|
| Inits | Name | Type | Start Date | End Date |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

Figure 5-27. Business Opposing Counsel Block

Inits (Initials) - Enter the initials of the opposing counsel. The codes (initials) for this field are established by your district. (LOV)

Note: If the opposing counsel is not in the database, you can add it by pressing **F3** to GoTo the Opposing Counsel Picklist. See **Chapter 6, Section 6.21.2** for additional instructions. When you exit the Picklist screen, LIONS will return to the Opposing Counsel Screen.

Name - The name will be filled in based on the initials entered.

Type - Enter the code that describes the type of counsel (AP for Appointed, for example). (LOV)

Start Date - Enter the date the opposing counsel became involved in the case.

End Date - This field is not relevant to matter/case initiation. Use this field to record the date the opposing counsel's involvement in the case ended.

5.7.6.2.4. Participant Comments

When you have finished entering the Opposing Counsel information, press **CTRL + PAGE DOWN** or click the Next Page button to enter PARTICIPANT COMMENTS.

Figure 5-28. Participant Comments Block

Participant Comments - This field is available to supplement the information about the participant. Enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and select **Edit** from the menu.

To enter another participant, put an **X** in the box labeled “**Go back to participant screen,**” and then press **TAB** or **ENTER**. Otherwise, press **CTRL + PAGE DOWN** or click on the Next Page button to go to the next screen. If this is the last participant, go to **Section 5.7.7** for instructions on Controlled Substances.

5.7.6.3. Property Participant

You can enter additional information about property participants. All of the information on the following screens is available for local use and is not required.

Figure 5-29. Property Participant Block

Name/Role - This information is carried over from the Participant block.

Type - Enter the code for the type of property; e.g., aircraft, cash/currency. (LOV)

Total Tracts - Enter the total number of tracts in Lands case.

CATS Asset ID - Enter the number assigned to the property by the Consolidated Asset Tracking System (CATS). The CATS Asset ID will be used to integrate the CATS system and the LIONS systems. Therefore, this number should be entered if available.

Address, Phone, and Fax Numbers - Enter the property's address and phone numbers, if applicable.

When you have finished entering the Property Participant information, press **CTRL + PAGE DOWN** or click the Next Page button to go to the PROPERTY VALUE block.

5.7.6.3.1. Property Value

| PROPERTY VALUE | | | |
|----------------|-------|------|------|
| Type | Value | Prop | Date |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Figure 5-30. Property Value Block

You can use the Property Value block to maintain a history of a property's valuation.

Type - Enter a code to describe the source for the property value (AP for Appraised, for example). (LOV)

Value - Enter the dollar amount that applies to the value of the property.

Prop Date (Property Date) - Enter the date the property was valued.

When you have finished entering the Property Value information, press **CTRL + PAGE DOWN** or click the Next Page button to go to the RELATED PARTICIPANTS block.

5.7.6.3.2. Related Participant

| RELATED PARTICIPANT | | | |
|---------------------|------|--------|--|
| Name | Role | Reason | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Figure 5-31. Related Participant Block

You can relate one participant in a case to another participant in the same case; e.g., relate a claimant to a piece of property. When you relate the current case to another case in LIONS, a matching record will be created for the related case.

Name - Participants for this block must be chosen by pressing **F9** and selecting a participant name.

Role - The role of the participant is automatically entered based on the participant. (LOV)

Reason - Enter the code that describes why one participant in a case is related to another participant in the same case. This is required if a name has been selected from the List of Values. (LOV)

When you have finished relating participants, press **CTRL + PAGE DOWN** or click on the Next Page button to enter PARTICIPANT COMMENTS.

5.7.6.3.3. Participant Comments

The following explains the values to be entered for the Participant Comments screen.

| PARTICIPANT COMMENTS |
|------------------------------------------------------------|
| <input type="text"/> |
| Go back to Participant screen [<input type="checkbox"/>] |

Figure 5-32. Participant Comments Block

Participant Comments - This field is available to supplement the information about the participant. Enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and select **Edit** from the menu.

To enter another participant, put an **X** in the box labeled "Go back to participant screen," and then press TAB or ENTER. Otherwise, press **CTRL + PAGE DOWN** or click on the Next Page button.

5.7.7. Controlled Substance

The following explains the values to be entered for the Controlled Substance screen.

Figure 5-33. Controlled Substance

Type - Enter the code that describes the type of controlled substance under investigation (K for Crack Cocaine, for example). (LOV)

Other - If the type of controlled substance is **O** (Other), enter a brief description. Required if Type is **O**.

Note: If Other is used, Quantity and Measure are not required but can be used, if applicable.

Quantity - Enter the actual quantity of the controlled substance seized. Fractions must be converted to one or two place decimals. For example, 22-1/4 = 22.25. Required if type is entered.

Measure - Enter the code that explains the measure of the controlled substance; e.g., **K** (Kilos). Required if Quantity has been entered. (LOV)

Controlled Substance Comments - Enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and select **Edit** from the menu.

5.7.8. Instrument

Enter the following information for each charge listed in the charging instrument. Note that only one charge per count should be entered. The other statutory references in a count may be jurisdiction, aiding and abetting, or penalties.

Instrument Type - If a charging instrument has been filed in court, enter the appropriate code; e.g., **CO** (Complaint), **IN** (Indictment). For Petty Offenses to be tried in Magistrate Court, enter **CI** (Citation), even if another instrument has been used. This field is required for criminal actions that have been filed in any court. (LOV)

Filing Date - Enter the date the instrument was filed in court. This field is required if an Instrument has been entered.

5.7.9. Charge/Count

The following explains the values to be entered for the Charge/Count screen.

The screenshot shows a software interface for entering charge and count information. The main window is titled "LIONS - CRIMINAL OPEN LONG - [copen:1.48]". It contains several sections:

- USAID:** 2006R00940
- Caption:** Jane Doe vs US
- LEAD CHARGE:** 03T:01102 Prohibited Acts
- COURT HISTORY:** Court Location: MG Magistrate Court; Court Number: MAG123
- INSTRUMENT:** 1 OF 1
- CHARGE/COUNT Table:**

| Charge | Description | Penalty Provision | Category | Count |
|-----------|-----------------|-------------------|----------|-------|
| 03T:01102 | Prohibited Acts | | M | 1 |
| | | | | |
| | | | | |
| | | | | |

The status bar at the bottom indicates "FRI, 04-AUG-2006" and navigation controls.

Figure 5-34. Charge and Count

Charge - If a charging instrument (complaint, indictment, information, etc.) has been filed against the defendant(s), enter the charge information. Note that only one charge per count can be entered. The other statutory references in a count may be jurisdiction, aiding and abetting or penalties. All characters are required. System Managers submit requests for new charge codes to TechOne. (LOV)

Description - You can enter a U.S. Code Title and Section, District of Columbia Code, Code of Federal Regulations (CFR), State Code, or Virgin Islands Code. All characters are required. (LOV)

Penalty Provision - Enter the penalty provision, if applicable.

Also, this field accepts Code of Federal Regulations.

Category - Enter one of the following. (LOV)

F Felony

M Misdemeanor

P Petty Offense

Count - If the charge appears in only one count, enter the number of that count. If the charge appears in more than one count and the counts are sequential, enter the first count followed by a dash and then the last count; e.g., 3-9. If the charge appears in more than one count and the counts are not sequential, enter the first count, press the DOWN ARROW to move down to the next field and enter the second count, etc.

When all the counts that include the charge have been entered, press **CTRL + PAGE UP** to return to the CHARGE block and enter the next charge. If all charges have been entered, press **CTRL + PAGE DOWN** to go to the DEFENDANT/COUNT block.

5.7.10. Defendant/Count

This block is used to attach defendants to the counts in the charging instrument. Each count in the charging instrument must be attached to at least one of the defendants.

| Count | Charge | Description | Level | Sealed? |
|-------|-----------|-----------------|-------|--------------------------|
| 1 | 03T:01102 | Prohibited Acts | M | <input type="checkbox"/> |
| | | | | <input type="checkbox"/> |
| | | | | <input type="checkbox"/> |
| | | | | <input type="checkbox"/> |

Figure 5-35. Defendant/Count Block

The Instrument and Filing Date entered previously will be displayed in the Instrument block.

The DEFENDANT (READ ONLY) block is a stacked block. Only Defendant participants will be in the stack. The counter in the upper right corner of the block tells you how many defendants are in the stack and the relative position of the defendant currently displayed. If you have entered more than one defendant, you will use the UP and DOWN ARROWS to move through the stack.

D# (Defendant) - Use this field to show the order in which defendants were listed in the charging instrument if different from the order in which they were originally entered in LIONS. Enter the defendant number. The Defendant Name, Status, and Start Date are READ ONLY fields.

ALL? - Enter a **Y** in this field, if you want to attach all counts in the charging instrument to the defendant.

Otherwise, enter an **N**. At this point, there are two ways to attach counts to defendants:

CTRL + PAGE DOWN to the DEFENDANT/COUNT block, enter the number of the first count, **ARROW DOWN** to the next line and enter the number for the next count. Repeat until all counts for the defendant have been entered.

Press **F9** to bring up a list of counts, use the **DOWN ARROW** to highlight a count that is applicable to the defendant, and then press **ENTER**. Repeat until all counts applicable to the defendant have been selected.

To seal an individual count for a defendant, click the Sealed checkbox for that count? If at least one count against a participant is sealed and the case is not sealed, LIONS will automatically seal the case at the case level (the security field will be set to 'L'). Conversely, if all counts for all participants are unsealed, the case will be unsealed at the case level (the security field will be nulled out).

If there are many counts in the charging instrument and most of them are applicable to the defendant, it may be more efficient to attach all counts to the defendant by entering a **Y** in the **ALL?** field and then deleting (**SHIFT + F6**) those counts that do not apply to this defendant.

Once you have attached all applicable counts to a defendant, press **CTRL + PAGE UP** to return to the DEFENDANT block, and use the **UP** and **DOWN ARROW** keys to select the next defendant.

When all defendants have been attached to the appropriate counts in the charging instrument, press **CTRL + PAGE DOWN** to go to the EVENT block.

5.7.11. Event

In LIONS, the user can relate participants to events; however, the participant must first be related to a court history stage for which the event is being entered.

Figure 5-36. Event Block

Rel (Related) - The first field in the EVENT block is a blank column that allows you to attach participants to events. **You must use this feature if you want to print the participant's last event on reports.**

If you enter a **Y** (Yes) in the Rel column, all participants that have been attached to the current court history stage will be attached to the event.

If you enter **N** (No), you must press **F9** to bring up a list of participants attached to the highlighted court history stage.

5.7.11.1. Participant Event

Figure 5-37. Relate Participants to an Event

When the Relate Participants to an Event pop-up block displays, place an **X** next to each participant that you want attached to the event. When you are done, press **CTRL + PAGE DOWN** to display the screen shown in Figure 5-38.

| Rel | Event | Action | Event Date | Date Scheduled | Time Scheduled | Staff INIT |
|-----|-------|----------------|------------|----------------|----------------|------------|
| N | CORR | Correspondence | ST | 04-AUG-2006 | | AS |
| | | | | | | |
| | | | | | | |

Figure 5-38. Participant Event Block

Event - Enter the code that best describes the event.

Note: Districts may create event codes at their discretion. (LOV)

Action - Enter the code that further describes the event (FI for Filed, for example). (LOV)

Event Date - Enter the date the event occurred. If you are scheduling an event, leave this field blank.

Date Scheduled - Enter the date an event is scheduled to take place, if applicable. If an Event is entered, you must enter an Event Date or a Scheduled Date. Scheduled Dates will appear on staff members' calendars.

Time Scheduled - Enter the time an event is scheduled to take place. Scheduled times will also appear on staff members' calendars.

Staff INIT (Initials) - LIONS will automatically fill in the initials of the Lead Attorney. If this is incorrect, enter the appropriate attorney/staff initials. This information is used by Document Generation. LIONS automatically fills in the last name of the staff member.

Doc Code (Document Code) - Enter the document number for document generation purposes, if needed. See **Chapter 9** for information regarding Document Generation.

Doc Staff INIT (Document Staff Initials) - LIONS will default to the initials of the person that has logged into LIONS. This cannot be changed. Used by Document Generation.

Doc Date (Document Date) - Will default to the current date. It is used by Document Generation when setting the date range for documents to be produced in batch. If it is necessary to regenerate a document, the date can be changed.

Location Scheduled - A free-form description of the location of the scheduled event.

Judge INIT (Initials) - Enter the initials of the Judge involved in the event or scheduled event. LIONS will fill in the Judge's last name based on the initials entered.

Event Comment - Enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and select **Edit** from the menu.

Note: The Comment should not be used to repeat the translation of the Event Code.

5.7.12. Related Case

You can relate one case to another case. You can relate the current case to a case that is not in LIONS.

| Current Case Court Number | Rel USAOID | Related Court Number | Reason |
|---------------------------|------------|----------------------|--------|
| | | | |
| | | | |
| | | | |

Figure 5-39. Related Case Block

Current Case Court Number - Type an **X** and press TAB or ENTER to automatically select the current court number or press **F9** for a list of court numbers for the current case, use the DOWN ARROW, if necessary, to highlight the court number you want, and then press ENTER.

Rel USAOID (Related USAOID) - Enter the USAO number of the case you want to relate to the current case.

Related Court Number - Enter the court number from the case you want to relate to the current case.

Reason - Enter the reason for the relationship (IS for Same Issue, for example). This field is required if any of the other fields have been entered. (LOV)

5.7.13. Case Comments

The following explains the values to be entered for the Case Comments screen.

Case Comments - Enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and select **Edit** from the menu.

Figure 5-40. Case Comments

To save and exit the form click on the **Exit** icon, and then click on **Yes**.

To exit without saving, click on the **Exit** icon, and then click on **No**.

To save and continue with the Criminal Short form, CTRL + PAGE UP to the Caption block, press **F6** and click on **Yes**.

6.0 CRIMINAL UPDATES AND CLOSING

To update criminal actions in LIONS you may be required to add information to existing records, change information in existing records, or add new records. The following table describes various types of updates and the steps to accomplish them.

| UPDATE | ACTION | PARAGRAPH |
|------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| Initial Court Filing | Close Participant Court Add new Court History Add additional participants, if necessary Attach participants to new Court History Add USAO Staff Assignments Add/Update Judge assignments, if necessary Add Instrument Add Charges and Counts Attach Counts to Defendants Add Comments, if necessary | 6.3 |
| Go from one Court to Another Court; e.g., Magistrate Court to District Court | Close existing Participant counts Add new Court History Add additional participants, if necessary Attach participants to the new Court History Add USAO Staff Assignments Add/Update Judge assignments, if necessary Add Instrument Add Charges and Counts Attach Counts to Defendants Add Comments, if necessary | 6.4 |
| Superseding Instrument - when the Court Number does not change | Close Participant Counts Add new Charges and Counts Attach Counts to Defendants Add Comments, if necessary | 6.5 |
| AUSA and Judge Reassignments (Global) | Access AUSA and Judge Reassignment form from Admin Module | 6.6 |
| AUSA and Judge Reassignments (Individual) | Access Court History form | 6.7 |
| Agency/Agent Information | Access Agency form | 6.8 |
| Restrict Case and other general Case Information | Access Restrict Matter/Case | 6.9 |
| | Access Case | 6.10 |
| Controlled Substance Information | Access Controlled Substance form | 6.11 |
| Change Count, Sentence, or Restitution Information | Access Count Disp/Sentence/Restitution form | 6.12 |
| Defendant Status | Access Defendant Status form | 6.13 |
| Event/Scheduled Event Information | Access Event form | 6.14 |

| UPDATE | ACTION | PARAGRAPH |
|------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|-----------|
| Evidence Information | Access Evidence form | 6.15 |
| Expert Information | Access Expert form | 6.16 |
| Assign DCMNS | Access Miscellaneous form | 6.17 |
| Opposing Counsel Information | Accessing Opposing Counsel form | 6.18 |
| Participant Information | Access Participant form | 6.19 |
| Triggerlock Information (Brady and Three-Strike) | Access Triggerlock form | 6.20 |
| Adding or changing information to Agency Office, Opposing Attorney, Expert, Judge, Evidence Location | Access Picklists from the Criminal pull-down menu, then click on the appropriate option | 6.21 |
| Closing | Closing Participants Closing the Case | 6.22 |

All updates can be performed through the Case Summary Screen or through the Update (General Update) option. If you are making a lot of changes to an individual criminal action, such as going from Not in Court to a Court, it is recommended that you use the Case Summary Screen. If you are making one kind of change; e.g., scheduling events in multiple cases, select the appropriate record from the General Update Menu.

6.1. Case Summary Screen

LIONS provides a form which the user can access all information about a matter or case. That screen is called Case Summary. To access this screen from either the Civil or Criminal pull-down menu, click on **Case Summary** or press the letter **C**. See **Section 2.9** of this manual for more information on the Case Summary screen.

To access a criminal action from the Case Summary Screen, enter the **USAOID** and press **F8**. Use the TAB, ENTER, or click with the mouse to place your cursor next to the record you want. Note that the Close Case screen is now accessible from the Case Summary Screen. Press **F3** or double click to access the record.

If your LIONS security permissions DO NOT allow you to access a form, the button; e.g., Defendant Status, will be grayed out.

6.2. General Update

From the Criminal pull-down menu click on Update or press the letter **U**. From the next pull-down menu, click on **General Update** or press the letter **G**. See **Figure 6-1**.

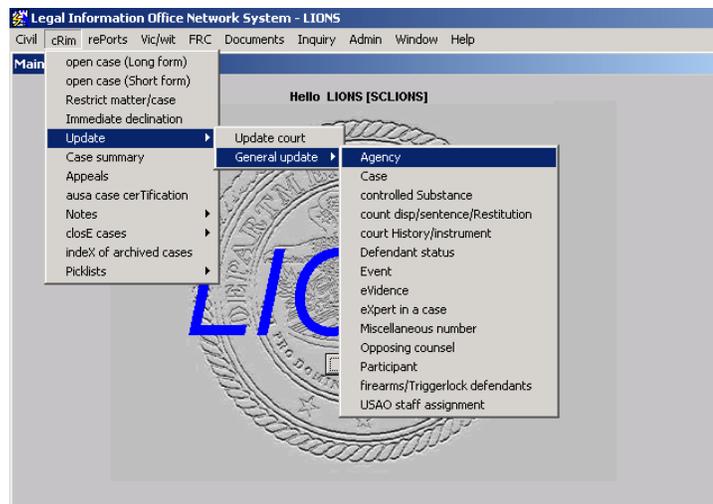


Figure 6-1. Selecting General Update

To access forms through the general update menu click on the desired record, or enter the underlined letter. For example, if you want to access the Event form press **E**.

If your LIONS security permissions DO NOT allow you to access a form, the label; e.g., Defendant Status, will be grayed out.

6.3. Initial Court Filing (Not in Court to Court)

When you are updating a criminal action to go from Not in Court to Court, you must close the Participant Court record, before adding the new court information.

6.3.1. Court History - Initial Court History Filing Select

The first step in the process is to access the Court History/Instrument from the General Update Menu.

Figure 6-2. Court History

Highlight the **NC** (Not in Court) Court History record, and press **CTRL + PAGE DOWN** to go to the Court/Participant block. Tab to the **Di** (Disposition) field and enter the following:

Di (Disposition) - Enter **NW** (New Filing)

Reason - Enter disposition reason (LOV)

Date - Enter the date the criminal action was filed in court

Repeat this for each participant in the **NC** that is being updated to a new court. When you have completed closing the Court/Participants, **CTRL + PAGE UP** back to the Court History block and press the down arrow or **F6** to go to a blank line and enter the following:

Crt (Court) - Enter the appropriate court code; e.g., **MG** (Magistrate Court) (LOV)

Loc (Location) - Enter the appropriate court location code, if applicable. (LOV)

Filing Date - Enter the date the instrument was filed in court.

Service Date - This field applies to civil only and the cursor will skip it.

Court Number - Enter the appropriate number assigned by the court.

Trial Days - Enter the number of trial days in the court. The trial days is optional. You can enter either whole days (e.g. 1, 5) or partial days (e.g. 1.5, 2.25) for Trial Days.

Do not attempt to enter an AUSA code at this time. This is done further down in the form. For a detailed explanation of the Court History form see **Chapter 5, Section 5.7.2**.

After entering the new Court History, go to the Court Participants block to attach participant(s) to the new court. Press **F9** for a list of participants. For each participant that will be part of the new court, highlight the participant and press the **ENTER** key. At least one defendant **MUST** be attached to the Court History. If the participant you want is not in the LOV, press **F3** to go to the Participant form to add additional participant(s). Exit the Participant form to return to the Court-Participant screen.

When you have completed attaching participants to the new Court, press **CTRL + PAGE DOWN** and enter Assignment information. See **Figure 6-3 below**. Optionally, you can close the Assignment record that is attached to the **NC** (Not in Court) Court History Record.

The screenshot shows the LIONS - COURT HISTORY - [gncrthis:1.35] window. The top section displays case information: CASE USAOID: 2006R00940, Caption: Jane Doe vs US, Status: A, Total Trial Days for Case: 0. Below this is the COURT HISTORY table with columns: Crt, Loc, Location, Filing Date, Service Date, Court Number, and AUSA. The table contains two rows: one for 'MG' (Magistrate Court) with location 'AS' and court number 'MAG123', and one for 'NC' (Not in Court) with location 'BHB'. Below the COURT HISTORY table is the ASSIGNMENTS table with columns: Inits, Name, Position, Start Date, and End Date. The table contains two rows: one for 'ABP' (Parham, Brad) with position 'V' and start date '04-AUG-2006', and one for 'AS' (Smith, Alesia) with position 'L' and start date '04-AUG-2006'. The bottom of the window shows the date 'FRI, 04-AUG-2006' and navigation buttons.

Figure 6-3. Court History Assignments

From the Assignment record, press **CTRL + PAGE DOWN** to add a Judge, if applicable.

The screenshot shows the COURT/JUDGES block with columns: Initials, First Name, Last Name, Start Date, and End Date. The table contains one row: 'BH' (Harwell, R. Bryan) with start date '04-AUG-2006'. The table is empty for the rest of the rows.

Figure 6-4. Court/Judges Block

From the Court/Judge block press **CTRL + PAGE DOWN** to add an Instrument.



Figure 6-5. Instrument Block

Enter the appropriate Instrument (**CO** for Complaint, for example) and Filing Date.

From the Instrument block, press **CTRL + PAGE DOWN** to go to the Instrument Charges block.

| INSTRUMENT CHARGES | | | | COUNT |
|--------------------|-----------------|-------------------|----------|-------|
| For: CI | Citation | 04-AUG-2006 | | 1 |
| Charge | Description | Penalty Provision | Category | |
| 03T:01102 | Prohibited Acts | | M | |
| | | | | |
| | | | | |
| | | | | |

Figure 6-6. Instrument Charges Block

Enter the following information for each charge listed in the charging instrument. Note that only one charge per count should be entered. The other statutory references in a count may be jurisdiction, aiding and abetting, or penalties.

Charge - Enter the charge as stated in the instrument, including section and subsection. All characters are required. System Managers submit requests for new charge codes to TechOne. (LOV)

Penalty Provision - Enter the penalty provision as stated in the instrument, if applicable. The format for the penalty is the same as stated above. (LOV)

Also, this field accepts Code of Federal Regulations.

Category - Enter one of the following. (LOV)

- **F** Felony
- **M** Misdemeanor
- **P** Petty Offense

If the Charge is from the Code of Federal Regulations (CFR), the category must be **P** (Petty Offense).

Count - Enter the count number(s) that pertain to the charge. Counts can be entered in one of two ways. If the charge is named in a successive number of counts; e.g., 1 through 5, you can enter 1-5 in the Count block. If the charges are named in non-successive counts; e.g., 1, 3, and 5, you must enter a 1, press the down arrow, enter a 3, press the down arrow, enter a 5, and so on.

When you have completed entering the count information, press **CTRL + PAGE DOWN** to go to the Defendant and Count blocks. See **Figure 6-7**.

| DEFENDANT | | | | |
|---------------|-----------|-----------------------|----------|--------------------------|
| Instrument | D# | Last Name, First Name | DFStat | Start Date |
| Citation | 1 | Smith, Robert | | |
| Select Counts | | | | |
| COUNT | | | | |
| Count | Charge | Description | Category | Sealed? |
| 1 | 03T:01102 | Prohibited Acts | M | <input type="checkbox"/> |
| | | | | <input type="checkbox"/> |
| | | | | <input type="checkbox"/> |

Figure 6-7. Defendant and Count Blocks

All of the defendants that were previously attached to the new Court History will be in this block. Check the counter to the right of the Defendant block to determine if there is more than one defendant present. Enter the following information in the Defendant block.

D# - If defendants were named in the indictment in a different order from the way they were originally entered on the Participant form, you can signify the defendants' order on the instrument, by entering the appropriate number in this field.

This will not change the order that defendants appear on the Participant form, however, it will show the number that you have entered in this block.

Click on the **Select Counts** button, select the defendant(s) and press **OK** or **Select All**.

To seal a charge, click the Sealed? checkbox for a count on the Select Count screen or directly on the record in the Counts block. If at least one count is sealed and the case has not been sealed, LIONS will automatically seal the case at the case level (the security field will be set to 'L'). Conversely, if all counts for all defendants are unsealed, the case will be unsealed at the case level (the security field will be nulled out).

When you have completed attaching counts to the defendants, press **CTRL + PAGE DOWN** to enter a Court History comment, if applicable.

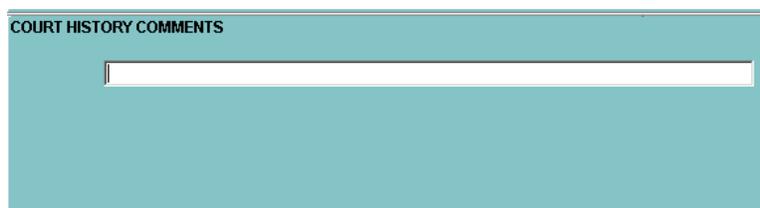


Figure 6-8. Court History Comments Block

6.4. Go From One Court to another Court

When you are updating a criminal action to go from one Court to another Court; e.g., Magistrate Court to District Court, you must close the Participant Count records for the old court, before adding the new court information.

6.4.1. Count Disposition/Sentence/Restitution

Access the Count Disp/Sentence/Restitution form from the LIONS Criminal General Update menu or Case Summary screen.

Figure 6-9. Count Disposition/Sentence/Restitution

Before entering any data in this form, be sure that the proper defendant, court, and instrument are all highlighted. The easiest way to do this is with the mouse. Go to the Disposition block and enter the following information:

Disp Date - Enter the new court filing date

Disposition - Enter NW (New Filing). This code goes immediately after Disp. Date

Disposition Reason - Enter the code that represents the new instrument; e.g., INDT (Indictment). (LOV) This code goes immediately after the disposition reason descriptions.

Repeat this information for each count and for each defendant, as appropriate. When you have completed closing the counts, save and exit the form.

6.4.2. Court History - New Court Information

Access the Court History form to enter the new court information.

Figure 6-10. Court History

Go to a blank line in the Court History block and enter the following information:

Court - Enter the appropriate Court; e.g., **DC** (District Court). (LOV)

Loc (Location) - Enter the court location, if applicable. (LOV)

Filing Date - Enter the date the criminal action was filed in the new court

Service Date - This field applies to civil only and the cursor will skip it.

Court Number - Enter the appropriate number assigned by the court.

Trial Days - Enter the number of trial days in the court. The trial days are optional. You can enter either whole days (e.g. 1, 5) or partial days (e.g. 1.5, 2.25) for Trial Days.

Do not attempt to enter an AUSA code at this time. This is done further down in the form.

After entering the new Court History, go down to the Court Participants block to attach participant(s) to the new court. Press **F9** for a list of participants. For each participant who will be part of the new court, highlight the participant and press the **ENTER** key. At least one defendant *MUST* be attached to the Court History. If the participant you want is not in the LOV, press **F3** to go to the Participant form to add additional participant(s). Click on the **Exit** icon to return to the Court-Participant screen.

When you have completed attaching participants to the new Court, press **CTRL + PAGE DOWN** and enter Assignment information. See **Figure 6-11**. Optionally, you can close the Assignment record that is attached to the previous Court History.

| ASSIGNMENTS | | | | |
|-------------|---------------|----------|-------------|----------|
| Inits | Name | Position | Start Date | End Date |
| ABP | Parham, Brad | V | 04-AUG-2006 | |
| AS | Smith, Alesia | L | 04-AUG-2006 | |
| | | | | |
| | | | | |
| | | | | |

Figure 6-11. Assignments Block

From the Assignment record, press **CTRL + PAGE DOWN** to add a Judge, if applicable.

| COURT/JUDGES | | | |
|--------------|-----------------------|-------------|----------|
| Initials | First Name, Last Name | Start Date | End Date |
| BH | Harwell, R. Bryan | 04-AUG-2006 | |
| | | | |
| | | | |
| | | | |

Figure 6-12. Court/Judges Block

From the Court/Judges block press **CTRL + PAGE DOWN** to add an Instrument.

| INSTRUMENT | | |
|------------|----------|-------------|
| Type | | Filing Date |
| CI | Citation | 04-AUG-2006 |
| | | |
| | | |
| | | |

Figure 6-13. Instrument Block

Enter the appropriate Instrument; e.g., **IN** (Indictment), and Filing Date.

From the Instrument block, press **CTRL + PAGE DOWN** to go to the Instrument Charges block.

| INSTRUMENT CHARGES | | | | COUNT |
|--------------------|-----------------|-------------------|-------------|-------|
| For: CI | Citation | | 04-AUG-2006 | 1 |
| Charge | Description | Penalty Provision | Category | |
| 03T:01102 | Prohibited Acts | | M | |
| | | | | |
| | | | | |

Figure 6-14. Instrument Charges Block

Enter the following information for each charge listed in the charging instrument. Note that only one charge per count should be entered. The other statutory references in a count may be jurisdiction, aiding and abetting, or penalties.

Charge - Enter the charge as stated in the instrument. The format for the charge is a two digit title; e.g., 08, followed by a space for the U.S. Code, a **T** for Territorial Codes, a **D** for District of Columbia Codes, an **R** for CFR violations, or an **S** for State violations, followed by a colon and five digit section number. In addition you can add subsections; e.g., (A)(1)(a).

Penalty Provision - Enter the penalty provision as stated in the instrument, if applicable. The format for the penalty is the same as stated above. Also, this field accepts Code of Federal Regulations.

Category - Enter one of the following. (LOV)

- **F** Felony
- **M** Misdemeanor
- **P** Petty Offense

If the Charge is from the Code of Federal Regulations (CFR), the category must be P (Petty Offense).

- **Count** - Enter the count number(s) that pertain to the charge. Counts can be entered in one of two ways. If the charge is named in a successive number of counts; e.g., 1 through 5, you can enter 1-5 in the Count block. If the charges are named in non-successive counts; e.g., 1, 3, and 5, you must enter a 1, press the down arrow, enter a 3, press the down arrow, enter a 5, and so on.

When you have completed entering the count information, press **CTRL + PAGE DOWN** to go to the Defendant block.

| DEFENDANT | | | | | 1 of 1 |
|------------|-----------|-----------------------|----------|--------------------------|---------------|
| Instrument | D# | Last Name, First Name | DFStat | Start Date | Select Counts |
| Citation | 1 | Smith, Robert | | | |
| COUNT | | | | | |
| Count | Charge | Description | Category | Sealed? | |
| 1 | 03T:01102 | Prohibited Acts | M | <input type="checkbox"/> | |
| | | | | <input type="checkbox"/> | |
| | | | | <input type="checkbox"/> | |

Figure 6-15. Defendant and Count Blocks

All of the defendants who were previously attached to the new Court History will be in this block.

Check the counter to the right of the Defendant block to determine if there is more than one defendant present. Enter the following information in the Defendant block.

D# - If defendants were named in the indictment in a different order from the way they were originally entered on the Participant form, signify the defendant's order on the instrument by entering the appropriate number.

- Click on the **Select Counts** button - Select the defendant(s) and press **OK**, or **Select All**.

- To seal a charge, click the **Sealed?** checkbox for a count on the Select Count screen or directly on the record in the Counts block. If at least one count is sealed and the case has not been sealed, LIONS will automatically seal the case at the case level (the security field will be set to 'L'). Conversely, if all counts for all defendants are unsealed, the case will be unsealed at the case level (the security field will be nulled out).

When you have completed attaching counts to the defendants, press **CTRL + PAGE DOWN** to enter a Court History comment, if applicable. See **Figure 6-16**.

The screenshot shows a window titled "COURT HISTORY COMMENTS" with a large, empty white text input area for entering comments.

Figure 6-16. Court History Comments Block

6.5. Superseding Instrument (when the court number doesn't change)

If a superseding instrument is filed in court, *and the court number does not change*, you will need to close the counts of the preceding instrument before adding the new one.

The screenshot shows the "LIONS - COUNT DISPOSITION/SENTENCE/RESTITUTION - [crsent:1.31]" form. The form is divided into several sections:

- CASE:** USAOID: 2006R00194, Caption: US vs Defendant, Status: A
- DEFENDANTS:** A table with columns: Role, Type, Last Name, First Name, Status, Start Date, End Date. One row is visible: D, I, Tucker, John.
- COURT:** Court Loc: DC, Court Number: DC-0000345.
- INSTRUMENT:** Type: IN, Indictment, Filing Date: 08-AUG-2006.
- DISPOSITION:** A table with columns: Count, Charge, Disp Date, Disposition, Disposition, Reason. Two rows are visible:

| Count | Charge | Disp Date | Disposition | Disposition | Reason |
|-------|-----------|-------------|-------------|-------------|----------------------------|
| 1 | 18 :00157 | 08-AUG-2006 | GT | Guilty | PLEM Plea (Magistrate Cour |
| 2 | 18 :00156 | 08-AUG-2006 | GT | Guilty | PLED Plea (District Court) |

Figure 6-17. Court Disposition/Sentence Restitution

Before entering any data in this form, be sure that the proper defendant, court, and instrument are all highlighted. The easiest way to do this is with the mouse. Go to the Disposition block and enter the following information:

Disp Date - Enter the new court filing date.

Disposition - Enter **NW** (New Filing).

Disposition Reason - Enter the code that represents the new instrument; e.g., **SIND** (Superseding Indictment Filed). (LOV)

Repeat this information for each count for each defendant, as appropriate. When you have completed closing the counts, save and exit the form. Return to the Court History form and add the instrument.

Figure 6-18. Court History

Highlight the appropriate court in the Court History block. If any changes have been made to USAO assignments or the Judge, then access the appropriate blocks of information and make the necessary changes. Refer to Section 6.3.1 for instructions on entering Assignments and Judges.

At the Instrument block add the superseding instrument.

Press the down arrow or **F6** to go to a blank Instrument record and enter the appropriate Instrument; e.g., **SN** (Superceeding Indictment), and Filing Date.

Figure 6-19. Instrument Block

From the Instrument block, press **CTRL + PAGE DOWN** to go to the Instrument Charges block.

Figure 6-20. Instrument Charges Block

Enter the following information for each charge listed in the charging instrument. Note that only one charge per count should be entered. The other statutory references in a count may be jurisdiction, aiding and abetting, or penalties.

Charge - Enter the charge as stated in the instrument. The format for the charge is a two digit title; e.g., 08, followed by a space for the U.S. Code, a **T** for Territorial Codes, a **D** for District of Columbia Codes, an **R** for CFR violations, or an **S** for State violations, followed by a colon and five digit section number. In addition you can add subsections; e.g., (A)(1)(a).

Penalty Provision - Enter the penalty provision as stated in the instrument, if applicable. The format for the penalty is the same as stated above. Also, this field accepts Code of Federal Regulations.

Category - Enter one of the following. (LOV)

- **F** Felony
- **M** Misdemeanor
- **P** Petty Offense

If the Charge is from the Code of Federal Regulations (CFR), the category must be P (Petty Offense).

Count - Enter the count number(s) that pertain to the charge. Counts can be entered in one of two ways. If the charge is named in a successive number of counts; e.g., 1 through 5, you can enter 1-5 in the Count block. If the charges are named in non-successive counts; e.g., 1, 3, and 5, you must enter a 1, press the down arrow, enter a 3, press the down arrow, enter a 5, and so on.

When you have completed entering the count information, press **CTRL + PAGE DOWN** to go to the Defendant block.

| DEFENDANT | | | | |
|------------|----|-----------------------|--------|------------|
| Instrument | D# | Last Name, First Name | DFStat | Start Date |
| Indictment | | Tucker, John | | |

1 of 1

| COUNT | | | | |
|-------|-----------|---------------------------------------------|----------|--------------------------|
| Count | Charge | Description | Category | Sealed? |
| 1 | 18 :00157 | Bankruptcy Fraud | M | <input type="checkbox"/> |
| 2 | 18 :00156 | Knowing disregard of bankruptcy law or rule | M | <input type="checkbox"/> |
| | | | | <input type="checkbox"/> |

Figure 6-21. Defendant and Count Blocks

All of the defendants that were previously attached to the Court History will be in this block. Check the counter to the right of the Defendant block to determine if there is more than one defendant present. Enter the following information in the Defendant block.

Click on the **Select Counts** button, select the defendant(s) and press **OK** or **Select All**.

D# - If defendants were named in the superseding instrument in a different order from the way they were originally entered on the Participant form, signify the defendant's order on the instrument by entering the appropriate number. For example, the first defendant that appears in the Defendant block may be the second person named on the Instrument. If that is the case enter a 2. This can be done for each defendant named in the Instrument.

This will not change the order that participants appear on the Participant form.

When you have completed attaching counts to the defendants, press **CTRL + PAGE DOWN** to enter a Court History comment, if applicable.

COURT HISTORY COMMENTS

Figure 6-22. Court History Comments Block

6.6. AUSA and Judge Reassignments (Global)

To reassign multiple criminal actions from one USAO staff member to another, or from one Judge to another Judge use the Reassignment form as shown in Figure 6-23 below. Access the Reassignment form from the LIONS Main Menu. Click on Admin, and then click on Staff or Judge Reassignment.

Note: If you do not have access to the Admin module, check with your System Manager for assistance.

When you use the Reassignment form you must choose the Staff OR Judge block. You cannot make reassignments to Staff and Judge at the same time.

Figure 6-23. Reassignment

Old Staff/Old Judge - Enter the code for the staff member or Judge currently assigned. (LOV)

New Staff/New Judge - Enter the code for the staff member or Judge that will be assigned. (LOV)

You must choose one of the Order By options. Put an **X** in the box next to your choice to determine how the list of criminal actions will be sorted. Tab to start query.

When you perform the query, LIONS will bring up all civil and criminal records assigned to the current USAO staff member (or Judge). For staff member assignments, LIONS will list the position of the staff person; e.g., **L** (Lead) AUSA, **C** (Co-counsel). If you are reassigning a criminal action from a staff person that is listed as **C** (Co-counsel), the new staff member position will automatically default to **C**.

Use the arrow keys or the mouse to move up and down the list. Put an **X** next to any criminal action that you want to reassign. When making multiple selections, remember that you can only reassign criminal and civil actions from one USAO Staff person (or Judge) to another USAO Staff person (or Judge). Press F8 a pop up screen will ask you "Do you really want to make this change?" Answer Y (yes) to commit.

When you make reassignments through the Reassignment form LIONS will automatically update the Court History Assignment block. It will put today's date in the End Date field of the current staff member, and it will put today's date as the Start Date of the new staff member.

6.7. AUSA and Judge Reassignments (Individual)

To reassign a single criminal action from one USAO staff member to another, access the USAO Staff Assignment form from the General Update menu or Case Summary screen.

LIONS - USAO STAFF ASSIGNMENT - [gnassign:1.16]

Case: USAOID: 2006R00194 Caption: US vs Defendant Status: A

COURT HISTORY (READ ONLY) 1 OF 1

| Court Location | Court Number |
|-------------------|--------------|
| DC District Court | DC-0000345 |

ASSIGNMENT

| Initia | Last Name, First Name | Pos | Start Date | End Date |
|--------|-----------------------|-----|-------------|----------|
| LMP | POLOVICK, LISA M. | L | 08-AUG-2006 | |
| | | | | |
| | | | | |
| | | | | |

TUE,08-AUG-2006 <S><U><D><D>

Figure 6-24. USAO Staff Assignment

Query the case and highlight the current court. Go to the Assignment block; enter an End Date on the old USAO staff person. Arrow down to a blank line and enter the new USAO staff person, Position and Start Date.

You can have only one active **L** (Lead) AUSA per court. If you are reassigning the **L** (Lead), you must first close the current lead by entering an end date and press F10 to process, then you can add the new **L** (Lead) AUSA.

To reassign a case from one judge to another, access the Court History form, move to the Court/Judge block. Enter an End Date for the old Judge, arrow down to a blank line and enter the new Judge and a Start Date. For more information refer to **Section 6.3.1** above.

6.8. Agency/Agent Information

To access the Agency form from the General Update menu or Criminal Update/Case Summary screen.

LIONS - AGENCY - [gnagency:1.18]

Case: USAOID: 2006R00194 Caption: US vs Defendant Status: A

AGENCY

| Role | Agency Code and Office | Agency Number |
|------|--------------------------------------|---------------|
| IN | JUFB Federal Bureau of Investigation | |

AGENT

| Salutation | Last Name | First Name |
|------------|-----------|------------|
| | | |

Agent: _____
 Phone: _____ Fax: _____ Pager: _____
 Title: _____ Lead: _____
 Email: _____

AGENCY OFFICE (READ ONLY)

Office: _____
 Address: _____ City: _____
 State: _____

AGENCY COMMENTS

TUE,08-AUG-2006 <S><U><D><D>

Figure 6-25. Agency

You cannot make a change to the agency code. If the wrong agency has been recorded, delete the record then add a new agency. If you are making a change to Agent information, be sure that the proper agency is highlighted before adding/changing Agent information. Press **F10** to update.

6.9. Restrict Case and Other General Case Information

LIONS provides a feature that allows you to restrict a criminal action to a group of USAO staff members. When restricted, all information in the criminal action can only be viewed by the USAO staff who are members of the group. If is necessary to restrict a criminal action, access the Restrict Matter/Case form from the Criminal pull-down menu. If you are not a member of a staff group, you cannot restrict criminal actions. Contact your System Manager for assistance.



Figure 6-26. Case Staff Group

Enter a USAOID or part of the Caption and press **F8** to retrieve the criminal action you want to restrict. If more than one case is retrieved, press the DOWN ARROW until the criminal action you want to restrict is displayed.

Press **CTRL + PAGE DOWN** to go to the STAFF GROUP block. Press **F9**, or click on the List icon to select the Group to which the criminal action is restricted.

6.10. Other Case Information

In addition to restricting criminal actions, general case information that becomes available, or changes from the initial data entry, can be entered. Access the Case form from the Criminal General Update menu or the Case Summary screen.

Figure 6-27. Other Case Information

Information can be added or changed in all of the fields in the Case block. For example, if you want to add a DOJ Division, tab to the DOJ Division field and enter the appropriate data.

Note: Do not make changes to the Court History or AUSA blocks through the Case form. Use the individual Court History or AUSA forms.

6.11. Controlled Substance

If you need to change or add information about drugs in a criminal action, access the Controlled Substance as shown in the figure below.

The screenshot shows a software window titled "LIONS - CONTROLLED SUBSTANCE - [crcontr:1.4]". The window has a menu bar with "Action", "Edit", "Record", "Query", "Window", and "Help". On the left side, there is a vertical toolbar with icons for home, print, save, delete, and search. The main area is divided into sections:

- CASE**: USAOID: 2006R00193, Caption: U.S. vs Altec, Lansing, Status: A
- CONTROLLED SUBSTANCE**: A table with the following data:

| Type | Other Description | Quantity Seized | Measure Seized |
|------|-------------------|-----------------|----------------|
| C | Cocaine | 100 | G Grams |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
- CONTROLLED SUBSTANCE COMMENTS**: A text input field.
- Footer**: TUE,08-AUG-2006 and navigation keys <S><U><I><D>

Figure 6-28. Controlled Substance Form

You can change existing drug information or go to a blank line and enter new drug information. If the Type of drug is **O** (Other) you must enter a description of the drug in the **Other Description** field.

If you want to enter a Controlled Substance comment, then press **CTRL + PAGE DOWN**. Be sure that the proper drug is highlighted in the Controlled Substance block before entering your comment.

6.12. Count Disposition/Sentence/Restitution

To add or change information concerning the count disposition, sentence or restitution, select the Court Disposition/Sentence/Restitution option from the General Update Menu or the Case Summary screen. A series of three data entry screens will be displayed.

Figure 6-29. Count Disposition/Sentence/Restitution

The only data you can change on the Court Disposition Form are the Disposition Date, Disposition, and Disposition Reason. Be sure you have highlighted the appropriate defendant, court, and instrument first. If you are trying to make changes for a defendant who does not immediately appear in the Defendant block, press **F7** (Enter Query), type in all or part of the name and press **F8** to execute the query.

To change to a count number or charge, go to the Court History form, press **CTRL + PAGE DOWN** until you come to the charge block, and make the appropriate change(s).

Figure 6-30. Sentence Block

All data in the Sentence block can be changed. Sentence records are required if you have a count disposition of **GT** (Guilty) or **NC** (Nolo). Marshal number is mandatory if the Victim Witness Indicator is Y. To display the Restitution screen, press **CTRL + PAGE DOWN** from the Sentence screen.

| Victim | Type | Recipient | Amount | Liability |
|------------|------|-----------|--------|------------|
| Jane, Mary | O | Ordered | I | Individual |
| | | | | |
| | | | | |

Copy to Another Defendant Amount Total: 10,000.00

SENTENCE COMMENTS

Figure 6-31. Restitution and Sentence Comments Blocks

Make sure the defendant from whom restitution is due is highlighted. Select the Victim name off the LOV. Enter the appropriate information. Note that the **Amount Total** field provides the aggregate sum for all restitution entered.

To change the victim, delete the record and then re-add the proper victim. All other information on the line can be changed. If you need to add a victim, go to a blank line, press **F9**, highlight the victim you want and press ENTER. You can also add **Sentence Comments**.

6.13. Defendant Status

To add or make a change to a defendant's status, access the Defendant Status form.

| DEFENDANT STATUS | | 1 | OF | 1 |
|------------------|-----------------------------------|-------------|--------------|---|
| Status: | RL Released (on own recognizance) | Start Date: | 08-AUG-2006 | |
| Deten Reason: | | | | |
| Custody Locat: | DY FPC-Beckley, West Virginia | Bond Type: | | |
| Bond Provider: | | | Bond Amount: | |
| End Date: | | | Term Reason: | |

Figure 6-32. Defendant Status Block

Before you enter data in the Defendant Status block, be sure you have the proper defendant highlighted in the Defendant (Read Only) block. To access the proper defendant, press the Down Arrow or press **F7** (Enter Query). Type in all or part of a defendant's name and press **F8** to execute the query.

Add or change data as necessary. If you have additional Defendant Status information for the same defendant, press the down arrow to obtain a blank block.

Status - This field is protected against update.

Stat Date (Status Date) - Enter the beginning date of the status.

Deten Reason (Detention Reason) - If the defendant is being detained, enter a reason why; e.g., **PROC** (Protective Custody). (LOV)

Custody Locat (Custody Location) - If the defendant is in custody, enter the location; e.g., **BX** (FCI-Greenville, South Carolina). (LOV)

Bond Type - If the defendant is on bond, enter the type of bond; e.g., **CB** (Cash Bond). (LOV)

Bond Provider - If the defendant is on bond, enter the name of the provider.

Bond Amount - If the defendant is on bond, enter the amount of the bond. You do not need to enter a dollar sign (\$), or a decimal.

End Date - When a particular status no longer applies to the defendant; e.g., a fugitive is apprehended, enter an End Date.

Term Reason - If you have entered an End Date, enter the reason the Defendant Status is over; e.g., **AP** (Apprehended). (LOV)

6.14. Event/Scheduled Event (Calendar)

If a significant event occurs or you want to schedule an event, access the Event form from the General Update menu or Case Summary screen.

The screenshot shows the 'LIONS - EVENT - [gnevent:1.12]' window. At the top, there are menu options: Action, Edit, Record, Query, Window, Help. The 'CASE' section includes USAOID: 2006R00194, Caption: US vs Defendant, and Status: A. The 'COURT HISTORY' section shows a table with columns: Court Location, Filing Date, and Court Number. The current entry is DC, District Court, 08-AUG-2006, DC-0000345. Below this is a 'See Participants' button. The 'EVENT' section has a 'Case History Report' button and a table with columns: Rel, Event, Action, Date, Date Scheduled, Time Scheduled, and Staff INIT. The table is currently empty. Below the table is an 'EVENT COMMENTS' field and a date field showing 'TUE,08-AUG-2006'.

Figure 6-33. Event (left side)

The screenshot shows the 'LIONS - EVENT - [gnevent:1.12]' window. At the top, there are menu options: Action, Edit, Record, Query, Window, Help. The 'CASE' section includes USAOID: 2006R00194, Caption: US vs Defendant, and Status: A. The 'COURT HISTORY' section shows a table with columns: Court Location, Filing Date, and Court Number. The current entry is DC, District Court, 08-AUG-2006, DC-0000345. Below this is a 'See Participants' button. The 'EVENT' section has a table with columns: Rel, Event, Staff Last Name, Doc #, Doc Staff INIT, Doc Date, Location Scheduled, Judge INIT, and Judge Last Name. The table is currently empty. Below the table is an 'EVENT COMMENTS' field and a date field showing 'TUE,08-AUG-2006'.

Figure 6-34. Event (right side)

You can add events and schedule events, but you cannot change existing events. If an event is incorrect, delete the code and re-enter an event, if appropriate.

Before entering a new event or scheduled event, be sure you have the appropriate Court highlighted. If you want to relate all of the participants in the criminal action to the new event or scheduled event, enter a **Y** (Yes) in the first column of the Event block. If you do not want to relate all participants to the new event or scheduled event, enter **N** (No) in the first column of the Event block.

When you enter a code in the event field, enter either an event date or a scheduled date.

Note: If you schedule an event, you can go back to the scheduled event and enter an event date to show that it occurred.

After entering the Event information, press **CTRL + PAGE DOWN**. If you entered a **Y** (Yes) in the first column of the Event block, you will receive a pop-up block.

| PARTICIPANTS RELATED TO EVENTS | | | | |
|--------------------------------|-----------------------|------|--------|-------------|
| Role | Last Name, First Name | Disp | Reason | Disp Date |
| D | Tucker, John | GT | PLED | 08-AUG-2006 |
| | | | | |

Figure 6-35. Participants Related to Events Pop-up

The pop-up at the bottom of the form verifies that all participants in the criminal action have been related to the Event.

If you entered **N** (No) in the first column of the Event block you will receive a pop-up block as shown in the figure below.

The screenshot shows the LIONS - EVENT - [gnevent:1.12] window. It contains three main sections:

- RELATE PARTICIPANTS TO EVENTS:** A table with columns: Role, Last Name, First Name, Disp, Reason, Disp Date. It shows one entry: D, Tucker, John, GT, PLED, 08-AUG-2006.
- EVENT:** A table with columns: Rel, Event, Action, Date, Date Scheduled, Time Scheduled, Staff INIT. It shows two entries:

| Rel | Event | Action | Date | Date Scheduled | Time Scheduled | Staff INIT |
|-----|-------|--------------------|------|----------------|----------------|------------|
| Y | AGNT | Meeting with Agent | CN | 08-AUG-2006 | | LMP |
| N | ARGN | Initial Appearance | CN | 08-AUG-2006 | | LMP |
- PARTICIPANTS RELATED TO EVENTS:** A smaller version of the table from Figure 6-35, showing the same entry for Tucker, John.

Figure 6-36. Relate Participants to Event

Enter an **X** next to each participant that you want related to the event or scheduled event. When you press **CTRL + PAGE DOWN** you will receive the verification pop-up.

When you are finished entering the event or scheduled event, and you have attached participants to the event, press **CTRL + PAGE DOWN** to enter an Event Comment.

6.15. Evidence Information

If you have evidence to add to a criminal action, or evidence you need to make a change to, access the Evidence form from the General Update Menu or the Case Summary screen.

Figure 6-37. Evidence Form

Enter the USAOID, or at least part of the Caption, and press **F8** to retrieve the case you want to update. If more than one case is retrieved, press the down arrow until the case you want to update is displayed.

Press **CTRL + PAGE DOWN** to go to the EVIDENCE block.

Type of Evidence - Enter the code for the type of evidence you are tracking. The codes for this field are established by your district. (LOV)

DC Exhibit Num (DC Exhibit Number) - Enter the number assigned to an exhibit at trial.

GJ Exhibit Num (GJ Exhibit Number) - Enter the number assigned to an exhibit for use before the grand jury.

Storage Date - Enter the date evidence was placed in storage.

Location - Enter the code that describes the storage location. The codes for this field are established by your district. (LOV)

Disposition Date - Enter the date evidence was destroyed or returned to a third party.

Disposition - Enter the code that describes the disposition of evidence. The codes for this field are established by your district. (LOV)

Comments - Enter a comment relating to the evidence. To see more of the screen press **ALT + E** and then select **Edit** or double click on the comment field..

If you have additional evidence to enter, press the down arrow (from the Evidence Block) to receive a blank evidence block.

6.16. Expert in a Case Information

If you have information about an expert to add to a criminal action, or expert information that you want to change, access the Expert in a Case form from the General Update Menu or the Case Summary screen.

Figure 6-38. Expert in a Case

You can enter the following information in this form:

Expert Side - Defines who the expert is testifying for. Enter **G** (Government) or **O** (Opposing Side)

Inits - Enter the initials of the expert.

Name - The system will fill in the name based on the initials that were entered.

Type - Enter the type of expert; e.g., **BAN** (Banker). The codes for this field are established by your district. (LOV)

Comment - Enter a comment relating to the expert. To see more of the screen, press **ALT + E** and select **Edit** or double click on the Comment field.

If you have additional experts to enter, press the down arrow (in the Expert Case Block) to go to a blank line and continue data entry as stated above.

6.17. DCMNS Numbers and File Location

To enter DCMNS numbers or note the physical location of a file, access the Miscellaneous Numbers form from the General Update Menu or Case Summary screen.

Figure 6-39. Miscellaneous Numbers

You can enter data for one case or for multiple cases. You can query up one case by keying in a specific USAOID and pressing **F8**; or you can query up a series of cases by entering a partial USAOID; e.g., **1997R003%** which would give you all criminal actions that begin with 1997R003; e.g., 1997R00301, 1997R00302, etc. (% acts as a wildcard).

6.18. Opposing Counsel Information

To track Opposing Counsel information, access the Opposing Counsel form from the General Update Menu or Case Summary screen.

| Role | Last Name | First Name | Disp | Reason | Disp Date |
|------|-----------|------------|------|--------|-------------|
| D | Tucker | John | GT | PLED | 08-AUG-2006 |

| Inits | Last Name, First Name | Type | Start Date | End Date |
|-------|-----------------------|------|------------|----------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

Figure 6-40. Opposing Counsel Information

Before changing or adding Opposing Counsel information, make sure you have the appropriate participant highlighted. From the Participant block, press **CTRL + PAGE DOWN** and either change information to the existing Opposing Counsel, or add a new Opposing Counsel.

6.19. Participant Information

To add or change Participant information, access the Participant form from the General Update Menu or Case Summary screen.

| T | Ro | Def | Name | Di | Reas | Disp Date | Di | Reas | Disp Date |
|---|----|-----|--------------|----|------|-------------|----|------|-----------|
| D | | | Tucker, John | GT | PLED | 08-AUG-2006 | | | |
| I | VI | | Jane, Mary | | | | | | |

| LOWER COURT | APPEAL COURT |
|-------------|--------------|
| | |
| | |
| | |
| | |
| | |

Figure 6-41. Participant

You cannot change the Type code. If the Type is incorrect you must delete the participant then re-add the participant with the correct Type. If the participant Role begins with a **D** or **P**, you can only change it to another **D** or **P**. If the Role needs to be changed to anything else, delete the participant and re-add it with the correct Role.

Based on the Type code entered, (**I**-Individual, **B**-Business, **P**-Property), LIONS provides forms related to an individual, business, or property. These participant-related forms are discussed in **Section 5.7.6**.

6.20. Firearms/Triggerlock Information

If Brady is the underlying offense or the illegal use, possession, sale, receipt, transportation, purchase, manufacture of a firearm, firearm accessories or ammunition, access the Triggerlock form from the Criminal General Update menu or the Criminal Case Summary screen.

Figure 6-42. Triggerlock/Firearms Characteristics

Before going to the Firearms Characteristics block, make sure you have the proper defendant highlighted. You can either press the down arrow until you highlight the correct defendant, or you can press **F7** to go into query mode, type the defendant's name and press **F8** to execute the query.

Enter information as follows:

Was the defendant involved in the illegal use, possession, sale, receipt, transportation, transfer, purchase, or manufacture of a firearm or firearm accessories or ammunition?

Did the defendant's offense involve or implicate or was the offense discovered as a result of the National Instant Check System (Brady)?

Clicking the checkbox next to the question indicates a 'Yes' response. Leaving it blank indicates a 'No' response.

6.21. Picklists

There are several code tables in LIONS that the District has total control over. To access these code tables (Picklists), access the Picklists option from the Criminal pull-down menu. Each of the five options are discussed below.

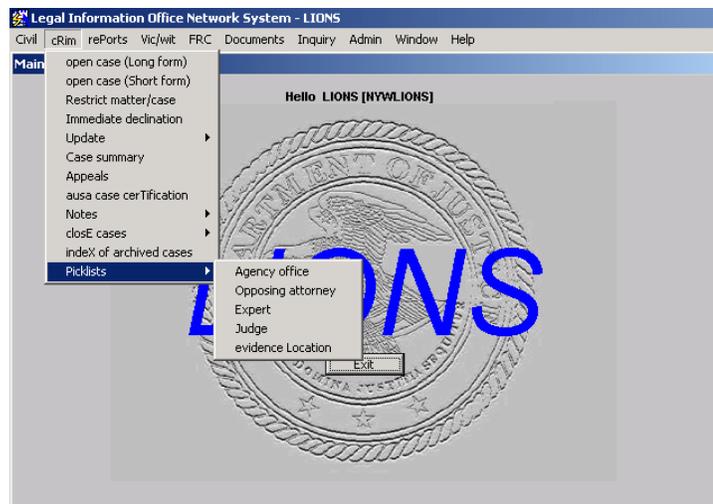


Figure 6-43. Picklists

6.21.1. Agency Office

This option allows you to capture multiple addresses for the same agency.

Figure 6-44. Agency Office

Before you enter an office for an Agency, you must first query the Agency. To do this, press **F7** and enter the Agency code. If you do not know the Agency code, press **F9** after you press **F7**, and find the code on the LOV (The Agency code must be manually keyed in it will not work from F9, LOV). Once the Agency code is entered, press **F8** to bring up the Agency code and description. Move to the Agency Office block and enter the appropriate address information.

Note: The office field should not be the same as the Agency description, it should be a unique identifier for the Agency location (FBI - Norfolk Office, for example).

If you have another address to enter for the same agency press the down arrow to receive a blank block and continue data entry. When you have completed entering your addresses, save and exit the form.

The next time you use the agency code in a case you will receive a pop-up block that will let you know you have multiple addresses. Press **F9** for a list of the addresses and select the appropriate one. The system will automatically put the address in the last block of the Agency form. This information can be used for Document Generation.

6.21.2. Opposing Attorney

This option allows you to capture pertinent information concerning an opposing attorney.

The screenshot shows a web-based form titled "LIONS - OPPOSING ATTORNEY PICKLIST - [gnopatrn:1.0]". The form is organized into several sections:

- Header:** "OPPOSING ATTORNEY" with a page indicator "OF".
- Personal Information:**
 - Inits: [text box]
 - Last Name: [text box]
 - Title: [text box]
 - Phone: [text box]
 - Firm: [text box]
 - Address: [text box]
 - City: [text box]
 - State: [text box]
 - Zip: [text box]
- Professional Information:**
 - Init Stat: [text box]
 - First Name: [text box]
 - SSN: [text box]
 - Salutation: [text box]
- Other Fields:**
 - Fax: [text box]

At the bottom left, a date field displays "TUE,08-AUG-2006". At the bottom right, there are navigation buttons: "<S><U><I><D>".

Figure 6-45. Opposing Attorney

Information entered can be used for Document Generation.

6.21.3. Expert

This option allows you to capture information about expert witnesses, including the type of expert; e.g., Banker.

The screenshot shows a web-based form titled "LIONS - EXPERT PICKLIST - [gnexpert:1.2]". The form is organized into several sections:

- Header:** "EXPERT" with a page indicator "OF".
- Personal Information:**
 - Inits: [text box]
 - Last Name: [text box]
 - Type: [text box]
 - Phone: [text box]
 - Address: [text box]
 - City: [text box]
 - State: [text box]
 - Zip: [text box]
- Professional Information:**
 - Init Stat: [text box]
 - First Name: [text box]
 - Title: [text box]
 - SSN: [text box]
 - Salutation: [text box]
- Other Fields:**
 - Fax: [text box]

Below the main form is a section titled "EXPERT COMMENTS" with a large text area for input.

At the bottom left, a date field displays "TUE,08-AUG-2006". At the bottom right, there are navigation buttons: "<S><U><I><D>".

Figure 6-46. Expert

This information can be used in Document Generation and to track the utilization of Experts within the district.

| Type of Disposition | Go To Form |
|------------------------------------------------|---------------------------------------------------------------|
| Declination of Prosecution after Investigation | Court History (Court/Participant block) |
| No True Bill after Presentment to Grand Jury | No Instrument Filed - Court History (Court/Participant block) |
| | Instrument Filed - Count/Disposition/Sentence Restitution |
| Transfer | No Instrument Filed - Court History (Court/Participant block) |
| | Instrument Filed - Count/Disposition/Sentence Restitution |
| Removal | Count/Disposition/Sentence Restitution |
| Dismissal of Charges | Count/Disposition/Sentence Restitution |
| Plea/Verdict | Count/Disposition/Sentence Restitution |

6.22.1.1. Close Defendant/No Instrument Filed (Not in Court)

Figure 6-49. Court History

Highlight the **NC** Court History record with the highlight bar. Press **CTRL + PAGE DOWN** to go to the Court/Participant block. Enter the appropriate Disposition Code as shown below.

DE - Declination of Prosecution After Investigation

NB - No True Bill (no instrument filed)

TR - Transfer (no instrument filed)

Enter the appropriate Disposition Reason and Date for each of the defendants that are being closed. A List of Values will be available for the Disposition and Disposition Reason fields.

When you have finished entering the disposition information for your defendant(s), commit the record by pressing **F10**. LIONS will perform a roll-up to close the Court History record. The Disposition - Disposition Reason combination that is most favorable for the U.S. will be inserted in the Court History record along with the latest Disposition Date.

In order to see the “rolled-up” disposition information in the Court History Record, you will need to re-query the NC Court History record. Do a CTRL + PAGE UP to the NC Court History block, press F7, and then press F8.

6.22.1.2. Close Defendant/Instruments/Counts (In Court)

Call up the Count Disposition/Sentence/Restitution screen as shown in Figure 6-51 below.

Figure 6-50. Count Disposition/Sentence/Restitution

In the Defendant Block, highlight the defendant you want to close by using the down arrow or the scroll bar. Click in the Court History Block. Highlight the Court History record using the down arrow or the scroll bar. Click in the Instrument block and highlight the instrument you want to close by using the down arrow or the scroll bar.

If there are a lot of defendants in the criminal action, you can speed up your search for the correct defendant by pressing **F7**, typing the defendant's last name, and then pressing **F8**. If more than one defendant in the case has the same last name, press the down arrow until you have highlighted the one you want.

Now you are ready to close out counts for the defendant. You will notice that the Count and Charge columns are pre-filled. These are READ ONLY fields which cannot be changed. Enter the appropriate Disposition Date, Code and Reason for each count.

No Sentence - If you have not entered a Disposition of **GT** (Guilty) or **NC** (Nolo), you will receive an error message alerting you that the Sentence screen will only appear for dispositions of GT or NC.

When you commit the record using **F10**, LIONS will perform a roll-up to the Court/Participant record of the Disposition - Disposition Reason combination that is most favorable for the U.S. The latest Disposition Date will be used. No further input is allowed in this form.

Add a Sentence - If there is a Disposition of **GT** (Guilty) or **NC** (Nolo), a Sentence Date is required before the roll-up will be performed to close the Court/Participant record. Press **CTRL + PAGE DOWN** to go to the Sentence block. See **Figure 6-51 below**.

| | | | | |
|-----------------------------------------------------------------------------------------------|-----------------------|----------------------------|------------------------------------|---------------------------------------------------|
| SENTENCE | | Sentence Date: 08-AUG-2006 | Debarred: <input type="checkbox"/> | Collection Ind: Y |
| Guidelines Departure: | | Marshal #: | 99999-111 | |
| Incarceration Type: | COS | Consecutive | Judge: HBS | Scott |
| Incarceration Days: | 0 | Months: 6 | Years: 0 | Hugh B. |
| Special Condition: | CMS Community Service | | | |
| Probation Days: | 0 | Months: 0 | Years: 0 | Probation Revoked (Y/N)? <input type="checkbox"/> |
| Supervised Release Days: | 0 | Months: 0 | Years: 1 | Release Revoked (Y/N)? <input type="checkbox"/> |
| Revoked Days: | 0 | Months: 0 | Years: 0 | Comm Svc Hrs: <input type="text"/> |
| Spec. Assmt: | 200.00 | | Fine: | .00 |
| Restitution Amount: | 25,000.00 | | Health Care Fraud | |
| Related FLU USAO Num: | 0 | Related FLU Seq.: | 0 | |
| Was the defendant an Armed Career Criminal Offender under 18 USC 924(e) (Y/N)? | | | | N ? |
| Was the defendant's life sentence received as a result of "3 strikes - 18 USC 3559(c)" (Y/N)? | | | | N ? |

Figure 6-51. Sentence Block

Sentence Date - Enter the date as noted on the Judgment and Commitment Order (J&C).

Debarred - Enter Y for Yes or N for No for Debarred field. (LOV)

Collection Ind: Enter if there is a Collection Indicator in this field. (LOV)

Guidelines Departure - Enter the appropriate code; e.g., **A** (Upward Departure Supported by U.S.) (LOV)

Marshal # - Enter the Marshall Number. It is mandatory if the Victim Witness Indicator is Y.

Incarceration Type - Enter the appropriate code; e.g., **LIF** (Life) (LOV)

Judge - Enter the initials for the Judge who issued the J&C. (LOV)

Incarceration Days, Months, Years - Enter the amount of time the participant has been sentenced to, if applicable.

Special Condition - Special conditions of probation. Enter the appropriate code if applicable. (LOV)

Supervised Release Days, Months, Years - Enter the amount of time of supervised release, if applicable.

Probation Days, Months, Years - Enter the amount of probation, if applicable.

Revoked Days, Months, Years - Enter the amount of time revoked.

Special Assessment - If the J&C indicates a special assessment, enter the appropriate amount.

Fine - If the J&C indicates a fine, enter the appropriate amount.

Restitution Amount - If the J&C indicates a restitution amount, enter the appropriate amount.

Related FLU USAO Num - The USAO Number of a similar case used by the Financial Litigation Unit (FLU) in the Legal Office Network (TALON) application which could be tied to the present case tracked by the LIONS application.

Related FLU Seq: - The sequence code assigned to the related FLU USAO Number.

Armed Career Offenders - If the defendant has been convicted as an Armed Career Offender enter **Y** (Yes). Otherwise enter **N** (No).

Life Sentence imposed as a result of Three Strikes Notice - If a life sentence has been imposed as a result of a Three Strikes Notice enter **Y** (Yes). Otherwise, enter **N** (No).

If a life sentence is imposed that is not a result of a Three Strikes Notice, enter a comment about why the defendant was sentenced to life.

If the J&C lists Restitution, press **CTRL + PAGE DOWN** to go to the Restitution screen as seen in Figure 6-52, and enter the information listed below.

| Victim | Type | Recipient | Amount | Liability | | |
|------------|------|-----------|--------|------------|-----------|---|
| Jane, Mary | O | Ordered | I | Individual | 10,000.00 | 1 |
| | | | | | | |
| | | | | | | |

Copy to Another Defendant Amount Total: 10,000.00

SENTENCE COMMENTS

Figure 6-52. Restitution Block

Victim - You can enter a victim name in one of two ways. You can press **F9** for a list of victims, or you can begin typing the victim's last name.

Type - Enter the type of restitution; e.g., **O** (Ordered).

Recipient - Enter whether the recipient is an Individual, Business, or Third Party. (LOV)

Amount - Enter the dollar amount of restitution.

Liability - In this field you can indicate whether the defendant from whom the restitution is being requested is individually liable for the amount, or jointly liable with another defendant. If the defendant is jointly liable and you want to note who the other defendant is, you can make a note in the comment field.

Amount Total - System generated sum of the restitution amounts.

When you have completed entering restitution information, use **CTRL + PAGE DOWN** to go to the Comment block.

Comment - Enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and select **Edit** from the Menu. It should be noted that the comment in this form relates to the Defendant, not the Victim.

6.22.2. Closing the Criminal Matter or Case

When all defendants have been disposed of you can close the criminal matter or case. Call up the Case Close screen from the Criminal pull-down menu.

LIONS - CLOSE A CASE - [gnclose:1.19]

Action Edit Record Query Window Help

USAOID: 2006R00194 Caption: US vs Defendant

CASE

Recvd Date: 08-AUG-2006 Status: C Completed Destruct Date: 05-AUG-2016

Close Date: 08-AUG-2006 Perm: N Collect Ind: Y Yes

LAST COURT STAGE (READ ONLY)

Court: DC District Court Court #: DC-0000345

Judge: HBS Scott, Hugh B. Trial Days:

Disposition: GT Guilty Disp Date: 08-AUG-2006

Disp Reason: PLED Plea (District Court)

ASSIGNMENT

Lead AUSA: AMM MORROW, ANN M.

RECORDS DISPOSITION

| Status | Record(s) to be Disposed | Defendant Status |
|-------------|-----------------------------------------|------------------|
| Completed 0 | Participants without Instrument Charges | |
| Completed 0 | Count Dispositions | Add Event |
| Completed 0 | Sentence Dispositions | Add Misc # |
| Completed 0 | Firearms/Triggerlock Defendants | |
| Completed 0 | Appeals | |

TUE, 08-AUG-2006 <S><U>

Figure 6-53. Close A Case Screen with Default Information

When you call up this screen you will notice that certain pieces of information have been defaulted. The Received Date is the date the criminal action was opened in LIONS. The Status appears as **A** (Active).

This will automatically change to **C** (Completed) when all of the steps necessary to close the criminal action have been done. The Destruction Date is calculated by LIONS.

The following fields must be completed by the user:

Perm (Permanent) - Indicates whether the file will be retained permanently. Enter **Y** (Yes) or **N** (No) (LOV) Files are designated as permanent if either of the following criteria apply: (1) The case has an impact on a statute, rule, regulation, or law enforcement policy; e.g., set a precedent; or (2) the case received local, regional or national media attention, or the interest of a Congressional committee or the Executive Office of the President, or widespread public interest. See **EOUSA Resource Manual 123**.

Collect Ind - Enter a **Y** (Yes) if the file will be referred to the Financial Litigation Unit. Enter **R** (Referred to Agency) if the file is being returned to the agency for post-disposition collection activities. Otherwise, enter **N** (No).

All of the information in the LAST COURT STAGE is READ ONLY. It reflects information entered into the last Court History Record.

The information in the Assignment block is READ ONLY also. It represents the Lead staff member for the last Court History Record.

The RECORDS DISPOSITION block references Participant/Court (Not in Court), Count Dispositions, Sentence Dispositions, and Appeal records. If the Status is "Completed" for any of these records, then no action is required. If the Status is Incomplete then proceed as follow.

Participant/Court (Not in Court) - The number in the Record(s) field indicates the number of Participants Not in Court that need to be closed. To close these records, highlight this item and press **F3**, which will take you to the Court History screen. Follow the instructions for Figure 6-49 above.

Count Dispositions - The number in the Record(s) field indicates the number of counts that need to be closed. To close these records, press **F3** to go to the Count Disposition/Sentence Restitution screen. Follow the instructions for Figure 6-50 above.

Sentence Dispositions - The number of Record(s) field indicates the number of sentence records which must be entered for defendants with dispositions of **GT** (Guilty) or **NC** (Nolo). To close these records, press **F3**, which will take you to the Count Disposition/Sentence/Restitution screen. See the instructions for completing the Sentence record under Figure 6-51 above.

Appeals - The number in the Record(s) column indicates how many Appeal records need to be closed. To close these records, press **F3**, which will take you to the appropriate form. See **Chapter 8 for instructions on closing appeals**.

When all of the items in the Records Disposition block of the Case Close screen say Completed, press **F10** to commit the record. The Status field will change to **C** (Completed) and the Destruction Date will be filled in.

7.0 VICTIM/WITNESS INFORMATION

The Victim/Witness Module in the LIONS application was designed for the use of the Victim/Witness Coordinator. In addition to allowing the Coordinator to input information and generate standard letters related to victims and witnesses, which can also be done through the Criminal Data Entry screens, the Victim/Witness Module of LIONS provides a log that can be used to record each contact made with victims or witnesses, a local list of Service Agencies to which victims are referred, and the information necessary for generating the Annual Statistical Report.

This module is no longer necessary now that EOUSA interfaces with another Victim Notification System (VNS). Data is captured in LIONS and automatically transmitted to the VNS on a nightly basis.

The security module of LIONS has been elaborately designed to restrict access to this information so that only those USAO personnel who are authorized to see Victim/Witness information can do so. In order to obtain the security level needed at each district, the System Manager must set up users and user restrictions properly.

To query a case in each of the forms discussed below, you may either enter the system generated USAOID, or enter the caption and press **F7**. If you use the caption to perform your query, there may be more than one case with a caption similar to that which you have entered. Use the down arrow in the CASE BLOCK to find the case that you want.

7.1. Accessing the Victim/Witness Module

To access the Victim/Witness module from the LIONS Main Menu, click on Vic/Wit option, or press **ALT + V**. The following pull-down menu displays.

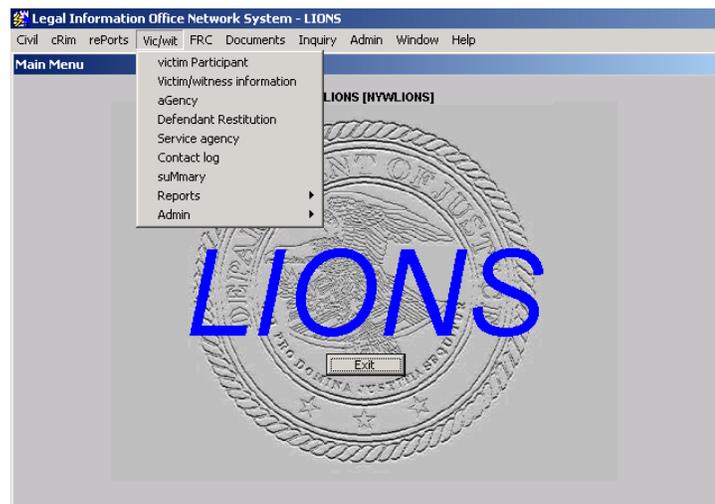


Figure 7-1. Victim/Witness Menu

Select the menu option you want by entering the underscored letter or clicking directly on the option.

7.2. Adding Victims/Witnesses

To add a victim or witness to the case, click on the menu option called Participant on the Victim/Witness pull-down menu, or press **P**. The following screen displays.

| T | Ro | Def | Name | Threat | Pros | Elder | Violent Crime | Dsbl | Serv Req | Notif Req | Notif Rcvd |
|---|----|-----|--------------|--------|------|-------|---------------|------|----------|-----------|------------|
| I | D | | Tucker, John | | | | | | | | |
| I | VI | | Jane, Mary | N | N | N | N | N | Y | Y | Y |

Figure 7-2. Participant Form

Query the case you want and repeat the following information for each victim/witness involved in the litigation.

Type - Enter **I** for Individuals or **B** for Businesses or other Organizations. (LOV)

Role - Enter the role code that best describes the victim, witness, or related party; e.g., **V** (Victim). (LOV)

The following codes are most commonly used:

- VC** Victim Custodian
- VD** Deceased Victim
- VI** Victim
- VP** Victim Parent/Guardian
- VS** Victim/Secondary Payee
- VW** Victim and Witness
- WT** Witness
- IW** Immunized Witness
- MW** Material Witness
- SO** Social Worker

Name - If the victim/witness has a Type of **I** (Individual), a pop-up window prompts you for the victim/witness' last and first name as shown in Figure 7-3. If the victim has a Type of **B** (Business) enter the business name in the field provided.

Figure 7-3. Individual Participant Pop-up

If the name search is activated, LIONS will check the database for this name.

The cursor will remain in the thin column between the Name field and the DI field. From this field, you can navigate to a new participant record, or continue to add information for the record you are in. The Disposition information is not applicable for victims or witnesses.

In the Victim/Witness information section answer (Y) Yes or (N) No to each of the following questions:

Threat - Is there a threat to the victim or witness?

Prosecution - Does the family request prosecution?

Elder - Is the victim disabled?

Violent Crime - Is it considered a violent crime?

Disabled - Is the victim disabled?

Service Requested - Is there a service requested?

Notification - Does the victim/witness request to be notified?

Notification Received - Has the notification been received?

If you have another victim or witness to enter, press the down arrow to go to the next line. If you want to continue entering information for this record, use **CTRL + PAGE DOWN** or click the Next Page button to go to the next set of screens.

Court History

To indicate which court proceeding the victim/witness is related to, you will need to make that attachment in the screen shown in Figure 7-4. This screen will pop-up when you press TAB, use CTRL + PAGE DOWN, or click the Next Page button. It will be necessary to make this attachment if you want to print documents based on events through the LIONS document generation module.

The screenshot shows the LIONS - VICTIM/WITNESS PARTICIPANT INFORMATION window. The title bar reads "LIONS - VICTIM/WITNESS PARTICIPANT INFORMATION - [gnvwpart:1.20]". The menu bar includes Action, Edit, Record, Query, Window, and Help. The main area is divided into several sections:

- CASE:** USAOID: 2006R00194, Caption: US vs Defendant, Status: C
- PARTICIPANT:** A table with columns: T, Ro, Def, Name, Threat, Pros, Elder, Violent Crime, Dsbl, Serv Req, Notif Req, Notif Rcvd.

| T | Ro | Def | Name | Threat | Pros | Elder | Violent Crime | Dsbl | Serv Req | Notif Req | Notif Rcvd |
|---|----|-----|--------------|--------|------|-------|---------------|------|----------|-----------|------------|
| I | D | | Tucker, John | | | | | | | | |
| I | VI | | Jane, Mary | N | N | N | N | N | Y | Y | Y |
| B | D | 1 | Business | | | | | | | | |
- COURT HISTORY:** Name: Business, Role: D, Disp: .

| X | Court Location | Filing Date | Service Date | Court Number |
|---|----------------|-------------|--------------|--------------|
| | DC | 08-AUG-2006 | | DC-0000345 |
| | | | | |
| | | | | |

The status bar at the bottom shows "TUE_08-AUG-2006" and navigation buttons: <S><U><D> and left/right arrow buttons.

Figure 7-4. Participant and Court History Blocks

Information shown in the Participant/Court History block is READ ONLY with the exception of the X column. To indicate in which court stage the victim or witness is involved, place an X in the column next to the court record, and press enter.

If the Type of Participant is I (Individual) continue with the Individual instructions under Figure 7-5 below.

If the Type of Participant is B (Business) refer to instructions following Figure 7-11 for Business information.

Figure 7-5. Individual Screen

Last Name/First Name/Role - LIONS moves this format into this screen from the previous screen.

All of the fields on this screen are optional; however, in order to obtain statistical information regarding the number of juvenile victims, you must set the **JUV** flag to **Y** (Yes). If you want to keep information about estimated and actual dollar loss for victims, you must also complete these fields. If you intend to use the LIONS document generation module to print letters and notices to victims or witnesses, the Salutation and Home Address should be completed.

When you have completed entering the Individual Participant information, press **CTRL + PAGE DOWN** or click on the Next Page button to go to the Alias block. See **Figure 7-6** below.

Figure 7-6. Alias Block

Last Name/First Name - Enter an alias for the participant, if applicable.

When you have completed entering Alias information, press **CTRL + PAGE DOWN** or click the Next Page button to enter Victim Witness information. See **Figure 7-7** below. See **Section 7.3** for instructions.

Figure 7-7. Victim/Witness Block

When you have completed entering Victim/Witness information, press **CTRL + PAGE DOWN** or click the Next Page button to enter Contact Log information. See **Figure 7-8 below**. Use this form to maintain a log of contacts made with victims or witnesses in a case, or to generate standard documents to victims or witnesses based on the type of log entry.

Figure 7-8. Contact Log Block

When you have completed entering Contact Log information (if applicable), press **CTRL + PAGE DOWN** or click the Next Page button to enter related participant information. See **Figure 7-9 below**.

| RELATED PARTICIPANT | | | |
|---------------------|------|--------|--|
| Name | Role | Reason | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Figure 7-9. Related Participant Block

Name/Role - You can relate one participant in a case to another participant in the same case; e.g., relate a victim to a parent or guardian. Participants for this block must be chosen by pressing **F9** and selecting a participant name.

Reason - Enter the code that describes why one participant in a case is related to another participant in the same case. This is required if a name has been selected from the LOV. (LOV)

When you create a related participant record, LIONS will automatically create a matching record for the other participant.

To enter a comment related to the victim or witness, press **CTRL + PAGE DOWN** from the Related Participant Screen or click the Next Page button to access the PARTICIPANT COMMENTS block shown in Figure 7-10.

Figure 7-10. Participant Comments

Comments - You can enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and select **Edit** from the menu or simply click on the edit icon.

If you have another victim/witness to enter information for, press **CTRL + PAGE DOWN** or click the Next Page button to return to the Participant Form shown in Figure 7-2. If this is the last victim or witness, you can save your data with **F10** and exit the form.

If the victim is a business or organization, enter the Court History information (see **Figure 7-4**). Then enter the Business Participant information as shown in Figure 7-11 below.

Figure 7-11. Business Participant

Name/Role - LIONS moves this information into this screen from the previous screen.

All of the fields on this screen are optional. You can capture the type of business, EIN number, business contact, and the business address. The business address must be completed if document generation is to be used to generate letters or notices to victims.

Health Care Fraud Cases (ONLY) - If this is a Health Care Fraud Case, enter the code from LOV (**F9**).

When you have completed entering Business information, press **CTRL + PAGE DOWN** or click on the Next Page button to enter DBA (Doing Business As) information. See **Figure 7-12**.

Figure 7-12. Doing Business As Block

DBA - Enter another name for the business, if applicable.

When you have completed entering the DBA information, press **CTRL + PAGE DOWN** or click the Next Page button to enter Related Participant information. See **Figure 7-8** above for instructions.

When you have completed entering Related Participant information, press **CTRL + PAGE DOWN** or click the Next Page button to enter Victim and Witness Information. See **Section 7.3** for information on this screen.

7.3. Victim/Witness Information

This screen can be accessed from the DBA screen when entering a new participant or directly from the main LIONS screen. From the Main Menu, click on the menu option called Victim/Witness Information or press **V**. The following screen displays.

Figure 7-13. Victim/Witness Information

If you are accessing this screen directly, query the case you want (otherwise, enter in the information as described by field below). Once the case is queried, all victims, witnesses, or persons related to a victim in the case are queried in the block called VICTIMS, WITNESSES, AND RELATED PARTICIPANTS. The information in this block is READ ONLY. To find the victim or witness you want to add information for, use the down arrow key to go from record to record. When you find the person or business you want use **CTRL + PAGE DOWN** to get to the block called VICTIM/WITNESS INFORMATION. The information entered in this block, along with other case information, will be used to generate the Victim/Witness Coordinators Annual Report.

If the case has a large number of victims and witnesses, it is easier to find the record by pressing **F7** in the VICTIMS, WITNESSES, AND RELATED PARTICIPANTS BLOCK, typing either the first name or last name of the person or business you are looking for, and then pressing **F8**.

Victim Identifier - Enter an identifier that you may have for the Victim/Witness, e.g., credit card number. This is a free-form field.

Victim Type - Enter a code to indicate whether the victim is the Primary or Secondary victim. (LOV)

of Times Victimized - Enter the number of times a person or business has been victimized.

Received Threats - Enter a **Y** (Yes) or **N** (No) to indicate whether the victim or witness has been threatened. (LOV)

Family Wants Prosecution - Enter a **Y** (Yes) or **N** (No) to indicate whether the victim's family wants to prosecute the offender. (LOV)

Elderly - Enter a **Y** (Yes) or **N** (No) to indicate whether the victim or witness is elderly. (LOV)

Violent Crime Victim - Enter a **Y** (Yes) or **N** (No) to indicate whether the person is a victim or witness of a violent crime. (LOV)

Disabled - Enter a **Y** (Yes) or **N** (No) to indicate whether the victim or witness is disabled and requires special assistance. (LOV)

Services Requested - Enter a **Y** (Yes) or **N** (No) to indicate whether the victim or witness has requested the USAO to refer them to a Service Agency. (LOV)

State Compensation Received - Enter the amount of state compensation that a victim or witness has received.

Notification Requested - Enter a **Y** (Yes) or **N** (No) to indicate whether the victim or witness has requested to be notified by the USAO of case proceedings. (LOV)

Notification Received - Enter a **Y** (Yes) or **N** (No) to indicate whether the victim or witness has received notification of any case proceedings from the USAO. (LOV)

After you have completed entering this information use **CTRL + PAGE DOWN** to enter the Contact Log, Related Participant, and Participant Comments blocks successively as described previously under Individual (**I**) participant (see **Section 7.2.**)

If you have another victim/witness in the same case to enter information for, go back to the VICTIMS, WITNESSES, AND RELATED PARTICIPANTS BLOCK and query the next person.

If this is the last victim/witness to enter information for in the case, press **F10** to save your data and exit the form. If you need to query another case, go to the CASE BLOCK, press **F7** and save your data; then enter the USAOID or Caption of the next case you wish to query and press **F8**.

7.4. Agency

The screenshot shows the LIONS AGENCY form with the following data:

- CASE:** USAOID: 2006R00194, Caption: US vs Defendant, Status: C
- AGENCY:**
 - Role: Agency Code and Office, Agency Number: 99999-XX-99999999
 - IN JUIFB Federal Bureau of Investigation
 - IN AGFS Forest Service
- AGENT:**
 - Salutation, Last Name, First Name, 1 OF 1
 - Agent, Phone, Fax, Pager, Title, Lead, Email
- AGENCY OFFICE (READ ONLY):**
 - Office: Headquarters
 - Address: 123 Popular Street, City: Brookeville, State: NY, 12345
- AGENCY COMMENTS:** Forestry
- Footer:** TUE,08-AUG-2006

Figure 7-14. Agency

To add Agency/Agent information, click on **Victim/wit** from the main menu and select **aAgency**. You can enter Agency/Agent information for one or more agencies. Enter the USAOID number and press **F8** to query case. The fields are described below.

Ro (Role) - Enter the Role for the Agency. LIONS defaults the Role for the first agency entered to **IN** (Investigative). Every criminal matter or case **MUST** have at least one investigative agency. (LOV)

If you enter an Agency Role of **VA** (Victim Agency), such as in a fraud case, you will receive a pop-up block that will allow you to capture the Estimated \$ Loss or the Actual \$ Loss to the Victim Agency.

The screenshot shows a pop-up form with two input fields:

- Est Loss
- Actual Loss

Figure 7-15. Estimated Loss / Actual Loss Pop-up

Agency and Agency Office - Enter the code for the agency that referred the criminal action to your office. If the agency has more than one location, select the appropriate office from the List of Values. (LOV) The Agency Office information appears in the AGENCY OFFICE (READ ONLY) block. See **Chapter 6, Section 6.21.1**, for instructions on adding or updating this information.

Agency Number - Enter the number assigned to the action by the agency.

7.5. Defendant Restitution

Information about restitution requested by a victim, or ordered/denied by the court, is entered in this form. Multiple records may be entered for each victim. From the Victim/Witness pull-down menu referenced in Figure 7-1 of this chapter, click on the menu option called Defendant Restitution or press **D**. The following screen displays.

Figure 7-16. Defendant Restitution Form

Once you have queried the case you need, all defendants for the case will be shown in the DEFENDANTS BLOCK. This is a READ ONLY area and contains the Last Name, First Name, and latest defendant status information for each defendant in the case. To find the defendant from which the victim is requesting restitution, use the down arrow through the records or press **F7**, type the defendant's last name and/or first name and press **F8**. When you find the defendant name that you want, make sure the name is highlighted and then use **CTRL + PAGE DOWN** to get to the next block called RESTITUTION. The following information can be entered in this block:

Victim - Select a victim name off of the List of Values by pressing **F9**.

Note: You must use the LOV to select names. Direct entry in this field is not allowed.

Type - Enter the type of restitution (R for Requested, for example).

Note: This screen should only be used to enter *requested* restitution amounts. When restitution is ordered or denied, it should be entered with the Judgment and Commitment Order through the Sentence form.

Recipient - Enter whether the recipient is an Individual, Business, or Third Party. (LOV)

Amount - Enter the dollar amount of restitution.

Liability - In this field you can indicate whether the defendant from whom the restitution is being requested is individually or jointly liable with another defendant for the amount. If the defendant is jointly liable and you want to note who the other defendant is, add this information in the comment field.

When you have completed entering restitution information, use **CTRL + PAGE DOWN** to go to the Comment block.

Defendant/Sentence Comment - Enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and select **Edit** from the Menu. It should be noted that the comment in this form relates to the Defendant, not the Victim.

If you have other restitution records to enter related to another defendant, **CTRL + PAGE DOWN** to the DEFENDANT BLOCK, find the defendant you want and repeat the process.

If you have finished entering information for this case, press **F10** to save your data and exit the form. If you need to query another case, go to the CASE BLOCK, press **F7**, save your data, enter the USAOID or Caption of the next case you wish to query and press **F8**.

7.6. Service Agencies

Before using this option for the first time after LIONS is installed, you must use the Victim/Witness Administration option to enter the Service Agency Types (Section 7.10.3) and Service Language Types (Section 7.10.4).

Through this screen, information about agencies that provide services to victims and witnesses can be entered. To access this screen from the Victim/Witness pull-down menu, click on Service Agency or press **S**. The following screen displays.

The screenshot shows a software window titled 'LIONS - SERVICE AGENCY - [gnservice:1.2]'. The window has a menu bar with 'Action', 'Edit', 'Record', 'Query', 'Window', and 'Help'. On the left side, there is a vertical toolbar with icons for file operations and help. The main area contains a form with the following fields:

- SERVICE AGENCY** (with a counter 'of' in the top right)
- Code:** [text box] **Name:** [text box]
- Service Locale:** [text box] **Service Fee:** [text box]
- Contact:** [text box]
- Address:** [text box] **City:** [text box]
- State:** [text box] **Zip:** [text box]
- Phone:** [text box] **Fax:** [text box]
- Eligibility:** [text box]

Below the main form are three sections:

- SERVICE TYPE** with a sub-section 'Type' and a list of items.
- SERVICE LANGUAGES** with a sub-section 'Language' and a list of items.
- SPECIAL SERVICES** with a sub-section 'Services' and a list of items.

At the bottom of the form is a **SERVICE AGENCY COMMENT** field. The status bar at the very bottom shows the date 'WED, 09-AUG-2006' and a keyboard shortcut '<S><U><I><D>'.

Figure 7-17. Service Agency Form

Repeat the following information for each Service Agency entered. The counters in the upper right corner of the screen indicate the number of Service Agencies that are already entered.

Code - Create a district specific code to describe the Service Agency. This field is a 4-character free-form field.

Name - Enter the name of the Service Agency in the format that you want to appear on documents.

Service Locale - Enter the geographic area that the Service Agency provides services for; e.g., Washington Metropolitan Area.

Service Fee - Enter a **Y** (Yes) or **N** (No) value to indicate whether the Service Agency charges a fee for its services. Defaults to No. (LOV)

Contact - Enter the name of the person at the Service Agency with whom you most often have contact.

Address - Enter up to three lines for the address (excluding City, State, Zip Code).

City/State/Zip - Enter the City, State and Zip. (LOV available for State).

Phone/Fax - Enter the telephone number and fax number of the Service Agency contact person.

Eligibility - If the Service Agency has eligibility requirements that must be met before a victim or witness can be referred to it, indicate what those requirements are (a court order must be entered, for example).

After you have completed entering the above information, use **CTRL + PAGE DOWN** from the Service Agency block to enter SERVICE TYPE information.

Service Type - Enter the types of services that the agency provides. Multiple records can be added for each Service Agency. Each district must create its own service type codes prior to making entries in this form. See **Section 7.10.3** below for a further discussion of Service Types. (LOV)

When you have completed entering all Service Types for the Service Agencies, use **CTRL + PAGE DOWN** to go to the next block: SERVICE LANGUAGES.

Service Languages - In this block, enter the Languages spoken at the Service Agency. Each district must create their own service language codes prior to making entries in this form. See **Figure 7-20** below for a further discussion of Service Languages. (LOV)

To enter a comment about the Service Agency, use **CTRL + PAGE DOWN** from the SERVICE LANGUAGE block.

Special Services - Enter Special Services provided from LOV (F9)

Service Agency Comment - Enter text as you would in WordPerfect. You can enter approximately 35 lines of text related to each Service Agency. To see more of the comment screen, press **ALT + E** and select **Edit** from the menu. The editor displays as shown in Figure 7-8.

If you have completed entering all your data, press **F10** to save and exit the form. If you need to add additional service agency information, press **F10** to save, and **F7** to query an existing record, or **F6** to enter a new record.

7.7. Contact Log

If you want to track the Service Agency Referral, you must have first entered the Service Agency information into the system. (See **Section 7.6.**)

Use this form to maintain a log of contacts made with victims or witnesses in a case, or to generate standard documents to victims or witnesses based on the type of log entry that is made.

To access this screen, click on the **Contact Log** option on the Victim/Witness pull-down menu or press **C**. The following screen displays.

Figure 7-18. Contact Log

After you have queried the case in which you want to make your contact log entries, you must find the right victim or witness. This form works exactly like the Victim/Witness Information form in that you can

query Victims, Witnesses, and Related Participants by using the down arrow or by pressing **F7**, entering the name and pressing **F8**.

The Name, Role and Agency fields in the VICTIM, WITNESSES AND RELATED PARTICIPANTS are READ ONLY. The only time that an Agency name displays is if it has been entered into LIONS as a Victim Agency.

Once you have found the victim or witness that you want to make a contact log entry for, you can enter the following information:

Contact Date - LIONS will default to today's date. You may overwrite this information by inserting your own date in the format DD-MON-YYYY. The date cannot be greater than today's date.

Type - Enter the type of contact that was made; e.g., **LE** (Letter). (LOV) The values for this field will be created by each district prior to entry in this screen. See **Section 7.8** for further discussion on how to enter these values.

Purpose - Enter the purpose for the contact; e.g., **CA** (Crime Victims Compensation Awarded). (LOV) The values for this field will be created by each district prior to entry in this screen.

Initiator - Indicate who initiated the contact: **G** (Government) or **V** (Victim). (LOV)

Staff - Enter the initials of the staff person making the contact. Any documents printed through the Document Generation module of LIONS will be based on the entry of these staff initials. Staff who wish to print documents containing victim or witness information must have authorization through the LIONS Security Module to access the victim and witness information. If they do not, they will not be able to generate documents successfully. It is recommended that the staff person making the contact log entry be the person who prints the documents to be generated; that person's initials should be entered in this field. (LOV)

Doc Code - This field is used for generating documents. A List of Values (LOV) is available and will contain all documents previously created by the district which are valid for victims and witnesses.

After you have completed this block of information, you may add another contact log entry by using the down arrow to access a new record or by pressing **F6**. If your contact with a victim or witness included making a referral to a Service Agency, you should use **CTRL + PAGE DOWN** to the Service Agency Referral block and make the following entries:

Service Agency - Enter the code of the Service Agency to which you have referred the victim or witness. (LOV)

Service Type - Enter the types of services needed by the victim or witness that the Service Agency will supply. (LOV)

Language - If there are any special language needs that the victim or witness has that will be provided by the Service Agency, enter the language codes here. (LOV)

Special Services - Enter Special Services required. (LOV)

After completing entry of the Service Agency Referral information, you can use the down arrow to enter additional Service Agency Referral information if you have made a referral to more than one Service Agency during the contact, or you can use **CTRL + PAGE DOWN** to go to the COMMENT BLOCK.

Comment - Enter text as you would in WordPerfect. You can enter approximately 35 lines of text for each Contact Log entry made. To see more of the comment screen press **ALT +E** and select **Edit** from the menu. The editor displays as shown in Figure 7-9.

If you have completed entering all your contact log entries, press **F10** to save and exit the form. If you need to add additional contract log entries for a different victim or witness in the case, press **F10** to save, and go to the VICTIM, WITNESSES, AND RELATED PARTICIPANTS block to query the record.

7.8. Victim/Witness Case Summary

To access the Victim/Witness Case Summary, click on **Vic/wit** from the Main Menu, and then select **suMmary**. Enter the **USAOID** number OR the **Caption** text, and then press **F8** to execute query, or select **Query/eXecute** to initiate a query. Tab to the field you wish to select and press **F3** to GOTO the selected screen. The summary of each field will be displayed after selected.

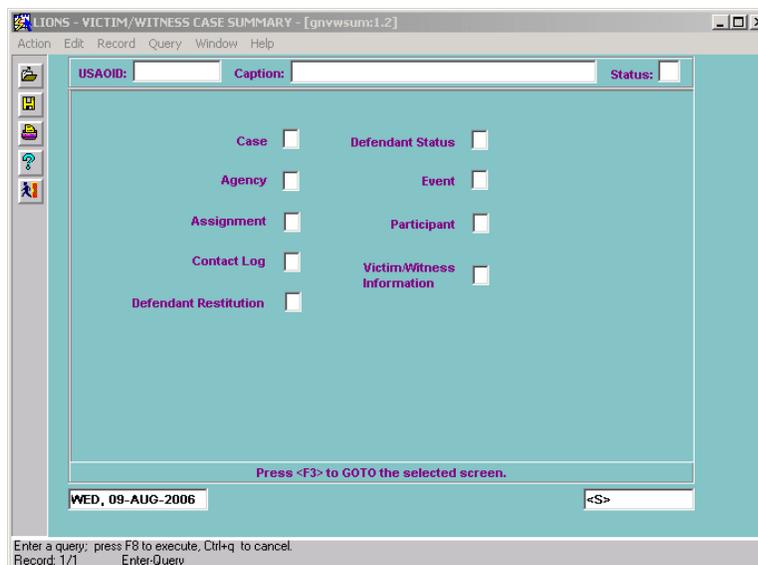


Figure 7-19. Victim/Witness Case Summary

7.9. Victim/Witness Reports

The Victim/Witness module of the LIONS application comes with standard reports. To access them, select the **Reports** option off the Victim/Witness pull-down menu, or press **R**.

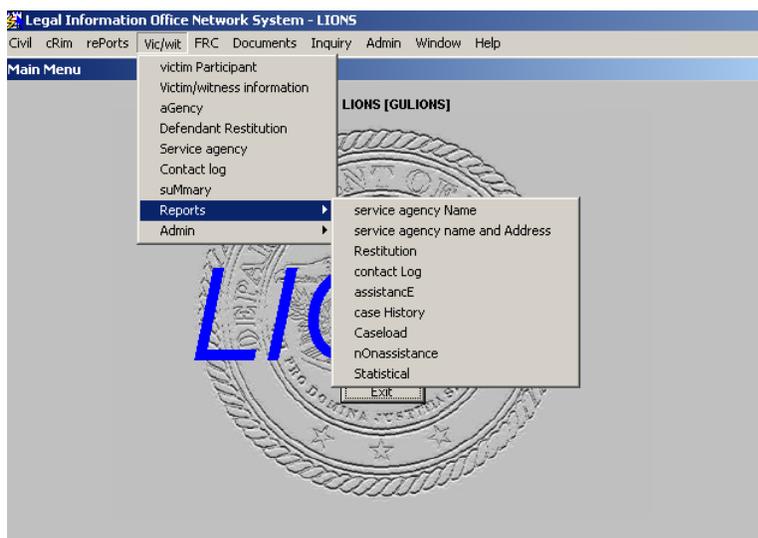


Figure 7-20. Accessing Victim/Witness Reports

Service Agency Name - Provides the code and name for each Service Agency in your system.

Service Agency Names and Addresses - Provides a list of Service Agency Names and Addresses. Also lists the types of services and languages available by the Agency, and whether they charge a fee. This report can be sorted by Service Agency Name or Service Type.

Restitution - Provides a listing of restitution ordered within a date range of Sentence Dates. This report also shows any requested restitution made and whether a victim has received state compensation.

Contact Log Breakdown - Provides a listing of contacts made within a date range by USAO staff to victims and witnesses. The Contact Log date is used for the range. The report is sorted by Contact Purpose.

Case History - This report is selected by case and provides a full history of pertinent information related to victims in the case.

Assistance Report - Provides a listing of the number of victims and the number of witnesses in each case that were assisted by the USAO during a period of time. Date range is based on the Contact Log date.

Caseload - Provides a listing of all pending cases in which a victim or witness is involved.

Non-Assistance Report - Provides a listing of the number of victims and the number of witnesses who have not received assistance from the USAO during a period of time.

Statistical - Provides information for the annual report which must be filed with the Office of Victims of Crime.

7.10. Victim/Witness Administration

The Victim/Witness forms contain fields which use a List of Values. These values must be created by each district. To create these codes, use the maintenance forms. From the Victim/Witness pull-down menu click on the option called Admin or press **A**. The following menu options displays.

7.10.1. Contact Type

When LIONS is installed, a limited number of codes will be provided. You have the option of changing or deleting these codes or adding local codes.

To enter Contact Type codes, select the Victim/Admin/Contact Type to access the Contact Type screen.

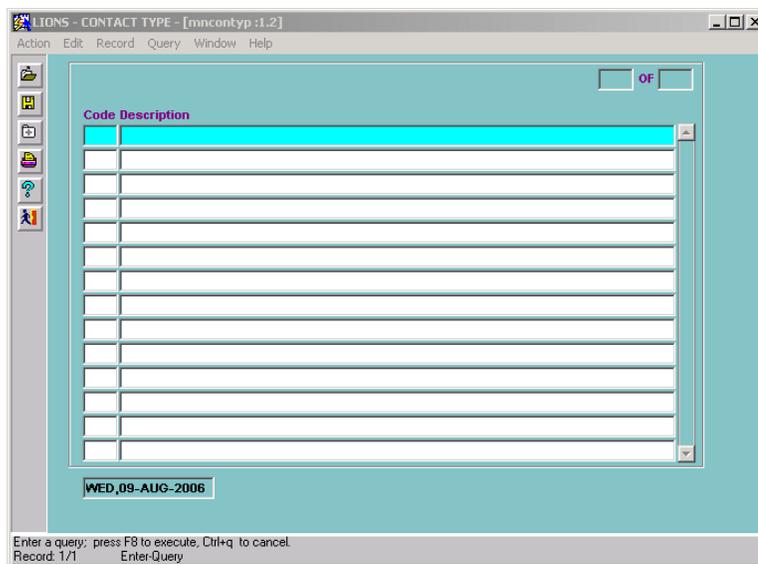


Figure 7-21. Contact Type

A LIONS message displays when all maintenance forms are opened. This is a reminder that they can be updated locally rather than by the EOUSA.



Figure 7-22. All Maintenance Forms Open Message

To delete a code, make sure the blue highlight bar is on the record you want to delete, and then press the **SHIFT + F6** keys at the same time. Before you add a new record, you should commit this change by pressing **F10**.

All codes added in this table will be reflected in the List of Values for the type field in the Contact Log form. (See **Section 7.7.**) To add a new code, use the down arrow to access a blank record or press **F6**. At the blank record type the following information:

Code - This is a two-character free-form field. Enter a unique contact type code.

Description - Enter up to 50 characters to describe the contact type.

After you have completed making your entries into this screen, press **F10** to save and exit the form.

7.10.2. Contact Purpose

Selected codes are provided when LIONS is first installed in your office. These codes are used for the purpose field in the Contact Log screen. (See **Section 7.7.**) You can modify or delete these codes and can add new codes.

To enter **Contact Purpose** codes, access the Contact Purpose screen by selecting its menu option.

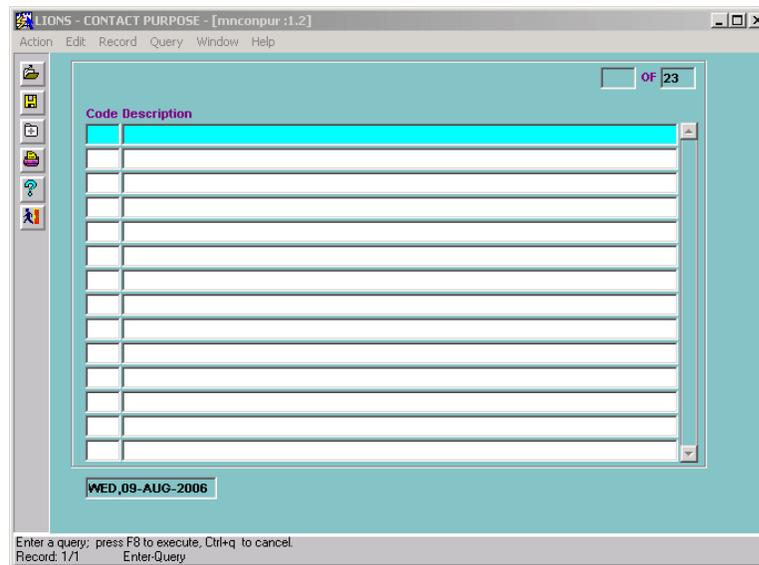


Figure 7-23. Contact Purpose

A LIONS message displays when all maintenance forms are opened. This is a reminder that they can be updated locally rather than by the EOUSA. (See **Figure 7-22.**)

To ADD a new code, use the down arrow to go to a blank record or use **F6**. Enter the following information for each new code you enter:

Code - This is a two-character free-form field. Enter a unique contact purpose code.

Description - Enter up to 40 characters to describe the contact purpose.

After you have completed making your entries into this screen, press **F10** to save and exit the form.

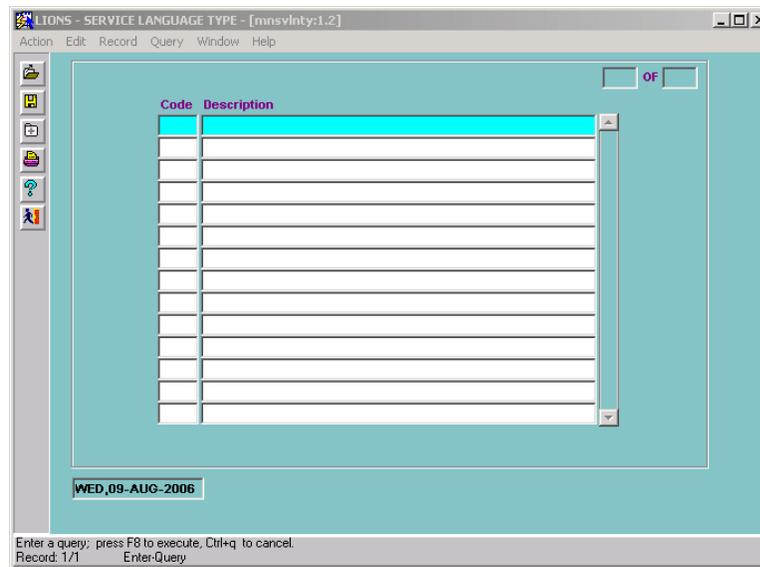


Figure 7-25. Service Language Type

A LIONS message displays when all maintenance forms are opened. This is a reminder that they can be updated locally rather than by the EOUSA. (See **Figure 7-22.**)

Code - This is a three-character free-form field. Enter a unique code for each type of language spoken at the Service Agency; e.g., **SP**.

Description - Enter up to 30 characters to describe the language (Spanish, for example).

All codes added in this table will be reflected in the List of Values for the contact type field in the Contact Log form.

After you have completed making your entries into this screen, press **F10** to save and exit the form.

7.10.5. Special Services

Select the Special Services menu option to access the Special Services screen.

8.0 APPEALS

When you receive an appeal, whether it is from final judgment or an interlocutory appeal, you will need to put the appeal in LIONS. If the appeal has been filed on a case that is in your system, attach it to the original case. See the instructions in **Section 8.2**. If you receive an appeal where your district did not handle the original case, open it as an appeal ONLY. See the instructions in **Section 8.3**.

8.1. What is an Appeal?

An appeal begins with the filing of a Notice of Appeal in the Court of Appeals or Supreme Court (either state or federal). It can be opened in LIONS at the time of the Notice of Appeal or when the appeal is docketed by the Court of Appeals.

Appeal from Final Judgment. An appeal record *must* be initiated in LIONS when an appeal from final judgment is filed.

Interlocutory Appeal. An appeal record *must* be initiated in LIONS for an interlocutory appeal.

Other "Appeals." Appeals of administrative decisions to the District Court; e.g., Social Security Disability Appeals, and "appeals" to the District Court from Bankruptcy Court and Magistrate Court are not considered to be appeals in this context. Note: For Social Security appeals, see U.S. Attorneys Procedures, Civil Policy Section. For Bankruptcy appeals to District Court see U.S. Attorneys Procedures, Criminal Policy Section. For Appeal of a Magistrate Judge's Decision, see U.S. Attorneys Procedures, Criminal Policy Section.

Notify the Financial Litigation Unit of the appeal if a debt is pending so that they can take appropriate action.

8.2. Docketing an Appeal for an Existing Case

When an interlocutory appeal is filed or an appeal from final judgment is filed on a case in your system, update the LIONS file. From the Criminal or Civil pull-down menu click on **Appeal** or press the letter **A**. The Appeals screen shown in Figure 8-1 displays. Enter the **USAOID** and press **F8**.

The screenshot shows the LIONS - APPEALS - [gnappeal:1.17] window. The window title bar includes the text "LIONS - APPEALS - [gnappeal:1.17]" and standard window controls. The menu bar contains "Action", "Edit", "Record", "Query", "Window", and "Help". The main area is a form with several sections:

- CASE**: USAOID: [text box], Caption: [text box], Status: [text box]
- APPEAL**: NOAP Date: [text box], Court Loc: [text box], Docket Date: [text box], Court Number: [text box], US Role: [text box], Appeal Type: [text box], Lead AUSA: [text box], Start Date: [text box], Sent Appeal: [checkbox], Consolidated Appeal: [checkbox], Cross Appeal: [checkbox], Appeal Disp Date: [text box], Disposition: [text box], Mandate Filed: [checkbox], Disposition Reason: [text box], and a "Generate Initial Events" button.
- PARTICIPANT/APPEAL**: A table with columns "Last Name", "First Name", and "Appeal Role".
- LOWER COURT - READ ONLY**: A table with columns "Role", "Di", "Reas", and "Date".

At the bottom of the window, there is a date field showing "WED, 09-AUG-2006" and a status bar with the text "Enter a query: press F8 to execute, Ctrl+q to cancel. Record: 1/1 Enter-Query".

Figure 8-1. Appeals

NOAP (Notice of Appeal) - Enter the date the Notice of Appeal was filed. This field is required if there is no Docket Date.

Court/Location - Enter **CA** (United States Court of Appeals), **ST** (State Court), or **SC** (United States Supreme Court). You can also enter a location for the court. (LOV)

Docket Date - If the appeal has been docketed, enter the appropriate date. This field is required if there is no NOAP date.

Court Number - Enter the number assigned by the appellate court. A court number is required if there is a Docket Date.

US Role - If the US filed the appeal enter **AN** (Appellant). Otherwise, enter **AE** (Appellee) or **A** (Amicus). (LOV)

Appeal Type - Enter **A** (Appeal From Final Judgment) or **I** (Interlocutory Appeal). (LOV)

Lead AUSA - Enter the staff member responsible for the appeal. (LOV)

Start Date - LIONS will default to today's date. It can be changed.

Sent Appeal (Sentence Appeal) - Enter **Y** (Yes) if the appellant is appealing all or part of a criminal sentence. Otherwise, enter **N** (No).

Consolidated Appeal - If the appeal is being consolidated with another appeal in the same case, click on the down arrow button to the right of the field. You will receive a pop-up block as shown in Figure 8-2, where you can enter all appeals with which the current appeal record is consolidated. Click the **List** button to see the Court Numbers of all appeals in the case, select the desired court number(s), and then press ENTER.

Figure 8-2. Consolidated Appeal Pop-up

Cross Appeal - If this is a cross appeal to another appeal in this case, click on the down arrow button to the right of the field. You will receive a pop-up block as shown in Figure 8-3, where you can enter all the appeals for which the current appeal record is a cross appeal. Click the **List** button to see the Court Numbers of all appeals in the case, select the desired court number, and then press ENTER.

Figure 8-3. Cross Appeal Pop-up

Appeal Disposition Date - Enter Appeal Disposition date.

Mandate Filed - Enter date the mandate was filed.

Disposition Reason: Enter code for disposition reason (LOV).

Generate Initial Events - If you click on this field, LIONS will create the initial appeal events based on the Government's role in the case.

If the US Role is **AN**, the events are:

OBRG - Opening Brief (Government)

ABRO - Answering Brief (Opposing)

RBRG - Reply Brief (Government)

If the US Role is **AE** the events are:

OBRO - Opening Brief (Opposing)

ABRG - Answering Brief (Government)

RBRO - Reply Brief (Opposing)

Participant/Appeal

When you have completed entering the Appeal information, press **CTRL + PAGE DOWN** to attach participants to the appeal. Press **F9** to select the participants involved in the appeal. Enter the appropriate participant role (for example, **AE** for Appeal Filed Against US, or **AN** for Appeal Filed by US).

When you have completed attaching participants, press **CTRL + PAGE DOWN** or click the Next Page button to enter assignments. See **Figure 8-4**.

| ASSIGNMENTS | | | | |
|-------------|----------------|----------|-------------|----------|
| Inits | Name | Position | Start Date | End Date |
| AJ | Jacobs, Angela | L | 09-AUG-2006 | |
| | | | | |
| | | | | |

Figure 8-4. Assignments Block

Inits (Initials) - Enter the code for the staff member assigned to the appeal. The codes for this field are established by your district. (LOV)

Position - LIONS will default the first entry to **L** (Lead). You are only allowed one open Lead. (LOV)

Start Date - LIONS will default to today's date; however, it can be changed.

End Date - Use this field to record the date the staff member's involvement in the appeal ended.

When you have completed entering the assignment, press **CTRL + PAGE DOWN** or click the Next Page button to enter opposing counsel information. See **Figure 8-5**.

| OPPOSING COUNSEL | | | | | |
|------------------|-----------------------|------|------------|----------|--|
| For: Jay, Fred | | | | | |
| Initials | Last Name, First Name | Type | Start Date | End Date | |
| | | | | | |
| | | | | | |

Figure 8-5. Opposing Counsel Block

If needed, you can enter information about the opposing counsel. If opposing counsel was entered for the defendant at the lower court level, this information displays in this block. Additional opposing counsel names can be added.

Inits - Enter the initials of the opposing counsel. The codes for this field are established by your district. (LOV) LIONS will automatically enter the name based on the initials entered.

Type - Enter the code that describes the type of counsel for the defendant; e.g., **AP** (Appointed). (LOV)

Start Date - Enter the date the opposing counsel became involved in the appeal. This is required if initials are entered.

End Date - Use this field to record the date the opposing counsel's involvement in the appeal ended.

When you have completed entering Opposing Counsel information, press **CTRL + PAGE DOWN** or click on the Next Page button to enter judge information. See **Figure 8-6**.

| COURT/JUDGES | | | | |
|--------------|-----------------------|-------------|----------|----------|
| Initials | Last Name, First Name | Start Date | End Date | Decision |
| WWW | Wilkins, William W. | 09-AUG-2006 | | |
| | | | | |
| | | | | |

Figure 8-6. Court/Judges Block

At local option, you can track the judges hearing an appeal.

Initials - Enter the initials for the Judge(s) hearing the appeal. The codes for this field are established by your district. (LOV) LIONS will automatically fill in the appropriate judge's name based on the initials previously entered.

Start Date - LIONS will default to today's date; however, it can be changed.

End Date - Use this field to record the date the judge's involvement in the appeal ended.

Decision - At local option, you can enter a judge's decision; e.g., **FMD** (Affirmed). (LOV)

When you have completed entering Judge Information press **CTRL + PAGE DOWN** or click the Next Page button to enter Event information. See **Figure 8-7**.

| EVENT | | | | | |
|-------|--------|------------|----------------|----------------|----------------|
| Event | Action | Event Date | Date Scheduled | Time Scheduled | Staff Initials |
| | | | | | |
| | | | | | |
| | | | | | |

Figure 8-7. Event Block

Event - If you previously clicked on the Generate Initial Events button, preset events will occur. Enter a Scheduled Date for these events. If any of them do not apply to your appeal, you can delete them (depending on your security access rights) by pressing **SHIFT + F6** while your cursor is in the Event field.

You can also add an event that is not one of the initial codes. Remember to enter either an **Event Date** or a **Date Scheduled**. LIONS will automatically default the **Staff Initials** to the Lead staff member you previously entered.

When you are done entering event information, attach the applicable participants to the events. Press **CTRL + PAGE DOWN** or click the Next Page button to attach participants to events. See **Figure 8-8**.

| PART.EVENT | | | | | | |
|-----------------------|---------------------|------------|-------------|-------------|-------|------|
| Event | Action | Event Date | Date Sched | Time Sched | Staff | Role |
| ABRG | Answering Brief (Go | AM | 01-AUG-2006 | 13-AUG-2006 | | AJ |
| Last Name, First Name | | | | | | Role |
| Jay, Fred | | | | | | A |
| | | | | | | |

Figure 8-8. Participants/Event Block

Last Name/First Name - Press **F9** for a list of the participants who are part of this appeal. Press ENTER for the participants you want to attach to the event. If you have another event that you need to attach participants to, press CTRL + PAGE DOWN, then arrow down to the next event.

When you have completed attaching participants to events, press **CTRL + PAGE DOWN** or click the Next Page button to enter a comment. See **Figure 8-9**.

Figure 8-9. Event Comments

8.3. Docketing an Appeal Only

It is sometimes necessary to open an appeal for which no lower court case has been opened in your case management system (or the case has been purged). If you need to docket an appeal only, follow the rules for opening a new civil file (see **Chapter 3**), or a new criminal file (see **Chapter 5**). It is recommended that when you docket an appeal only you use the Short Forms.

Following are special instructions for completing the Civil Short and Criminal Short for an appeal only:

8.3.1. Case

The following explains the values to be entered for the Case screen.

Role - Enter **AE** (Appeal filed against US), **AN** (Appeal filed by US) or **A** (US is Amicus). (LOV)

8.3.2. Court History

The following explains the values to be entered for the Court History screen.

Court - Enter **CA** (Court of Appeals), **ST** (State Court), or **SC** (Supreme Court).

Appeal Type - Enter **A** (Appeal From Final Judgment) or **I** (Interlocutory Appeal).

Filing Date - Enter the Appeal Docket Date or the Supreme Court Docket Date.

Court Number - Enter the number assigned by the Court of Appeals or Supreme Court.

8.3.3. Participant

The following explains the values to be entered for the Participant screen.

Role - Enter **AE** (Appellee), **AN** (Appellant) or **A** (Amicus).

8.3.4. Relief (Civil Only)

The following explains the values to be entered for the Relief screen.

Type of Relief - Enter **N** (Nonmonetary).

Requested By - Enter **G** (Government) if we filed the appeal or **O** (Opposing Party) if the appeal has been filed against us.

8.4. Closing an Appeal

Normally, you should close the appeal record when the opinion of the Court of Appeals is received. If you want to know that a Petition for Writ of Certiorari has been filed, you can wait until the time for filing a Petition for Writ has passed. If a Petition for Writ of Certiorari is filed, at local option, you can leave the appeal open until writ is granted or denied. If Writ is granted, open a new appeal record.

When you are ready to close an appeal, select the Appeal screen from either the Case Summary screen or the Civil or Criminal pull-down Menus. Enter the following information:

Disposition Date - Enter the date a decision was made by the Appellate Court.

Disposition - Enter the appropriate Appellate Disposition code; e.g., **FA** (Favorable to US). (LOV)

Mandate Filed - Enter the date the mandate was filed. If you enter a date in this field LIONS will automatically create an event of **MAND** (Mandate).

Disposition Reason - At local option, you can track a reason that further defines the disposition; e.g., **AFMD** (Affirmed). (LOV)

When you press **CTRL + PAGE DOWN** from the Appeal screen, you will go through a series of records, including the Assignment, Opposing Counsel, and Judge. Enter an End Date in each one of the records. At local option, enter a Decision by Judge (AR for Affirmed and Reversed, for example). The purpose of the Decision field is to allow the district to track the individual members of a panel's decision.

9.0 OVERVIEW OF DOCUMENT GENERATION

9.1. Document Generation Procedures

The Document Generation Module has been designed to combine the features of WordPerfect and Oracle. The information needed to complete documents is extracted from the LIONS database, stored in a secondary merge file, and merged with standard documents (primary file). (For a detailed discussion of WordPerfect's merge function, refer to the WordPerfect Reference Manual, which was provided with your software.)

The standard documents initially provided are Victim/Witness letters and notices. These documents can be used as they are or they can be customized for your office. This chapter will discuss the three ways documents can be generated and how to customize the standard letters for your office.

The Victim/Witness module in LIONS is no longer supported by CMS. Victim cases are now tracked through the Victim Notification System outside of LIONS.

In order to successfully print Victim/Witness letters and notices, you must make sure that each individual who is to receive a notice or letter is entered into LIONS as a participant with a type of **I** (Individual) with a role of **V%** (i.e., any victim role), **WT** (witness) or **%W** (i.e., any other witness role). Refer to Chapters 4 (Civil Update) and 6 (Criminal Update) for further discussion on entering LIONS participants.

9.2. The Document Generation Menu

To access the Document Generation Menu select **ALT + D** from the LIONS main menu or click on **Documents** as shown in Figure 9-1.

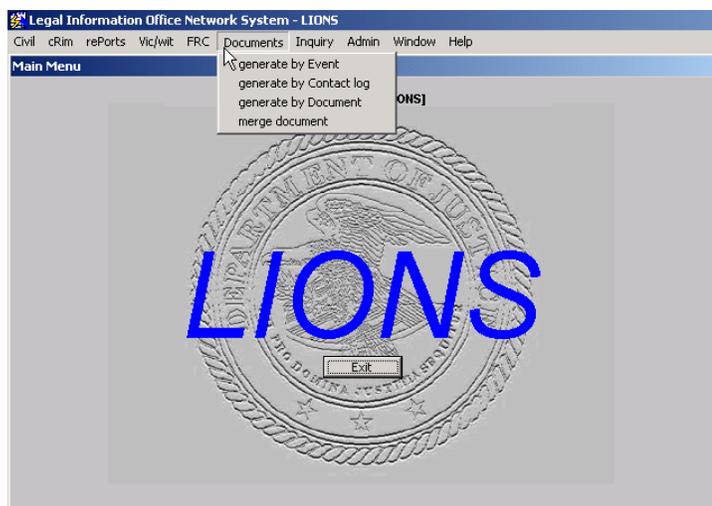


Figure 9-1. Document Generation Menu

In order to generate documents properly, victim/witness names and pertinent personal information must be entered into LIONS. Refer to **Chapters 4 (Civil Update)** and **6 (Criminal Update)** for further discussion on entering LIONS participants.

There are three types of documents available through this module: Batch, Event, and Contact Log. Each method determines what information will be printed.

Generate by Event - These documents require the user to enter a document code in the event record, and should be used when the notice or letter refers to **ONLY** one defendant in the case.

Generate by Contact Log - These documents require the user to enter a document code in a contact log record, and should be used when the notice or letter is to be directed to **ONLY** one victim/witness. A separate letter or notice will be printed for each defendant in the case.

Generate by Document (Batch) - These documents can be printed for all cases with a LIONS received date in a specified range. The received date is usually the date the matter or case was received in your office.

There are two methods for printing documents through this module:

Merge Document (No Print) - This option allows the user to merge LIONS data into a pre-selected WordPerfect document and save it to the C:\DATS directory without printing it. This is useful if the standard document must be customized for a specific case or circumstance.

Merge Document (Print) - This option allows the user to merge LIONS data into a pre-selected WordPerfect document and print it immediately.

9.3. Event Documents

Event documents should be used when documents must go to **ALL** victims or witnesses of an event. Make sure that you have first entered your victims and/or witnesses through the Participant Form.

To use event documents, the user must first enter an event. Select the Event option off the Civil or Criminal Update, General Update menu. The following screen displays.

Figure 9-2. Event Screen 1

Enter the **USAOID** or a partial **Caption** of the case and Press **F8** to query up your case to add the event information. For more information on entering LIONS events, refer to Chapter 4, Section 4.11 for civil events, and Chapter 6, Section 6.14 for criminal events.

If a document refers to a scheduled event (e.g., trial, sentence hearing), enter the **Date Scheduled** and the **Time Scheduled**. Scroll to the right to enter additional information pertaining to the event that will print in your document, and to add the document information.

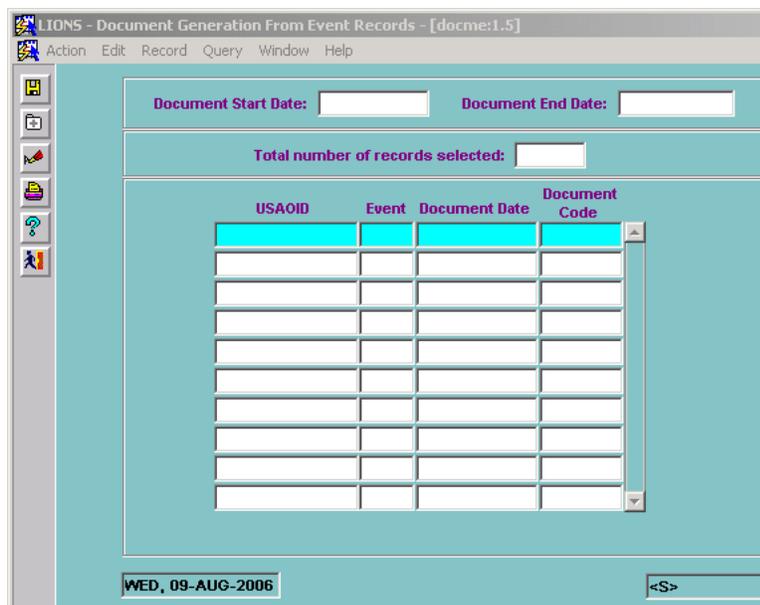


Figure 9-4. Document Generation from Event Records

Multiple documents can be printed at a time. Enter the range of dates within which the Document Date falls. This is the document date you entered in the event record.

Document Start Date - Enter the beginning date of the range.

Document End Date - Enter the end date of the range and press ENTER.

The USAOID, Event code, Document Date, and Document Code will be shown for all events with Document Dates that fall within the specified range.

Click on the Create Document Data button to generate your documents. You will receive the error message shown in Figure 9-5 below.

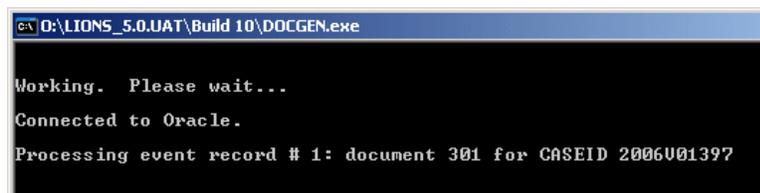


Figure 9-5. Document Generation Error Message

This is an informational window that will be cleared from the screen if the merging process is successful. During this process, the secondary merge document is being created from the event information previously entered. If you receive any errors in this window, they indicate that the secondary merge process has failed; contact your System Manager for assistance.

After the secondary merge document(s) has been created, you can choose to merge it with the primary WordPerfect document and print it immediately, or you can choose to merge it and not print. See **Paragraphs 9.6 and 9.7** below for further instructions on printing documents.

9.4. Contact Log Documents

Contact Log documents should be used when a notice or letter must go to only one victim or witness. To use this feature, the user must first make a contact log entry for the victim or witness who is to receive the letter or notice. Refer to **Chapter 7, Section 7.7** for instructions on making contact log entries.

On the Contact Log screen shown below, the Contact Date, Staff (Initials) and Document Code are fields used to generate documents.

Figure 9-6. Contact Log

Contact Date - Enter the date the contact was made with the Victim/Witness.

Staff (Initials) - The user whose initials are entered in this field is the only one who can generate the document specified in the Doc Code field. This is in keeping with LIONS security.

Doc Code (Document Code) - Enter the code for the document you wish to print. (LOV)

Multiple Contact Log entries can be made with different documents requested on each entry. Keep a record of the Contact Date entered for each Contact Log entry for which a Document is requested. These dates will be used to generate documents later.

9.4.1. Generating Documents by Contact Log

To generate documents by Contact Log, select the Documents option off the LIONS Main Menu, and the Generate by Contact Log option. The Document Generation from Contact Log Records screen displays.

Figure 9-7. Document Generation from Contact Log Records

Enter the range of dates for which contact log entries have been made and a document code has been added.

Contact Start Date - Enter the beginning date of the range.

Contact End Date - Enter the ending date of the range and press ENTER.

The USAOID, Contact Purpose, Contact Date and Document Code will appear for each Contact Log entry with a document code where the Contact Date falls within the specified range.

Click on the Create Document Data to create the secondary merge files from the data entered in the Contact Log. The error message shown in Figure 9-5 displays. This pop-up window will clear when the merge process successfully completes.

If you receive any errors that the merge process was not successful, contact your System Manager for assistance.

9.5. Batch Document

This option allows the user to print documents based on the LIONS received date. A separate document code does not need to be entered in any other LIONS screen.

When a batch document is requested, a separate notice or letter will be printed for each defendant to each victim or witness in the case. In other words, if there are three victims and three defendants in the case, each victim will receive three letters/notices; a total of nine letters/notices would be printed.

To print batch documents, select the **Documents** option off the LIONS Main Menu and the Generate by Document option. The Document Generation by Document screen displays.

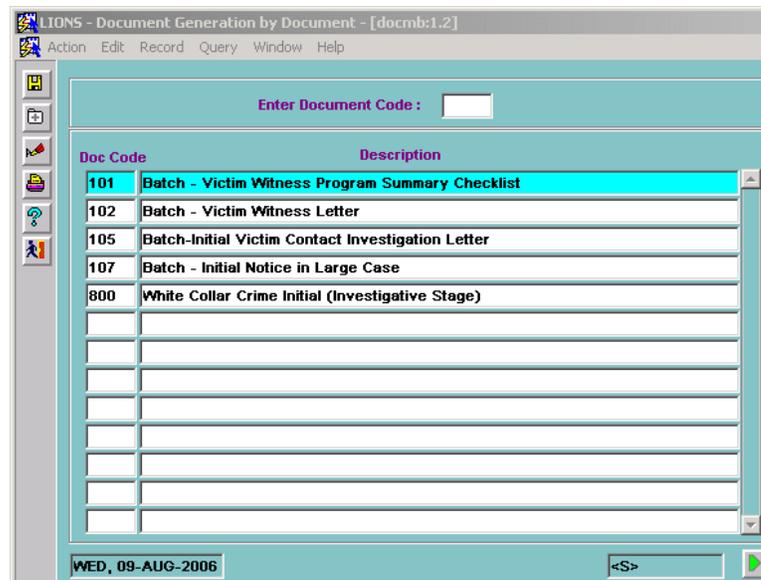


Figure 9-8. Document Generation by Document

Use the DOWN ARROW or mouse to highlight the document you wish to print then click on the arrow button in the bottom right corner of the screen. If you know the number of the document you wish to print, you can enter the number at the **Enter Document Code** prompt in the top block. The Document Generation by Document screen displays for the specified document.

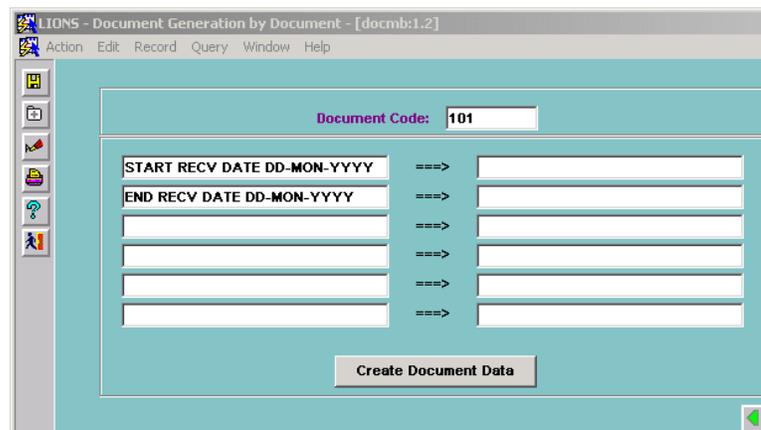


Figure 9-9. Document Generation by Document for a Specified Document

Enter the range of dates for all cases that you wish to print the selected batch document. The date used is the LIONS received date. The document will print for all matters/cases that have a LIONS received date within the range, and victims or witnesses entered. If there are not victims or witnesses entered into LIONS, batch documents will fail.

Start Recv Date - Enter the beginning date of the range.

End Recv Date - Enter the ending date of the range.

Click on **Create Document Data**. You will see the pop-up window shown in Figure 9-5. This is an informational window which will be cleared from the screen if the merging process is successful. During this process, the secondary merge document is being created from the information previously entered into LIONS.

If you receive any errors in this window, they indicate that the secondary merge process has failed. Contact your System Manager for assistance.

9.6. Print Options

9.6.1. Merge Document (No Print)

This option allows the user to merge the secondary WordPerfect file that contains LIONS data, into the standard WordPerfect document. Files with a *.dat and *.fin extensions along with a MERGE.CNT file are created in the C:\DATS directory for the document code. This is useful if the standard document must be customized for a specific case or circumstance. For example, the following documents might be created during this process: worked

| | |
|---------|--------------------------------------------------------------------------------|
| 101.dat | Secondary merge file containing database information |
| 101.fin | Final document with secondary data merged into the standard document.merge.cnt |

To edit the *.fin files, the user must access them through WordPerfect 6.1 on their workstation. The files are located in the C:\DATS directory. You will note that all the LIONS data has been merged into the primary WordPerfect document. Any change can be made to the document(s) before printing.

9.6.2. Merge Document (Print)

This option allows the user to merge the secondary WordPerfect file that contains the LIONS data into a standard WordPerfect document and print it immediately. All documents will print to the printer defined for your WordPerfect documents.

9.7. Getting Started (Suggested Plan of Action)

Before using the document generation module, some preparation is needed. The documents provided are the only ones that can be used at this time. If you have a need for additional documents contact the Case Management Staff for assistance.

WordPerfect - All LIONS documents are stored in this directory: O:\ORAAPP\EXE\LIONS\LIONSDOC. All documents will print to the printer defined for your WordPerfect documents. Use normal WordPerfect commands to print or retrieve documents.

Appendix C is a listing of all Victim/Witness letters provided with this system. If you decide to use one or more of these document, you must first review and tailor them to include local information.

Identify - Select a standard document from within LIONS.

Print - Once identified, print out a hard copy.

Highlight - Highlight the variable fields in the entire document.

Verify - Verify that the variable fields used in the standard document are the ones used in your office documents. If not, then make a notation of what changes need to be made and contact your System Manager *before* you make any changes to the document.

Changes to variable fields will require a change to the background SQL statement that pulls the data from the database into the secondary merge file. Presently, these changes must be made by EOUSA. If you need changes made, contact your System Manager. If changes are made to the document without changing the SQL statement, the document will fail.

Modifications - You should make the following changes in the document using WordPerfect.

Enter local information in lieu of the notes in brackets; e.g., the United States Attorney's name.

Add printer commands, styles, etc.,

Modify documents to incorporate local language without renumbering the merge codes. They can be rearranged as long as you maintain the original numbers, since those numbers reflect the order of the fields in the SQL statement.

Changing the numbering of the Merge Codes will cause the document to fail.

You may enter and update as many documents as you choose during a session. When you are finished, exit WordPerfect.

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10.0 CLOSED FILE MANAGEMENT

10.1. Contents of Closed Files

When a file is closed, it should contain substantive records to provide “adequate and proper documentation” to understand the nature of the case and the U.S. Attorney's legal and administrative handling of it.

The attorney closing the case is responsible for ensuring that the files are complete and contain all necessary documentation and that appropriate items have been destroyed or returned. For example, duplicate items should be destroyed. Material which belongs to other individuals (personal items), agencies, or clients, and is clearly not the property of the U.S. Attorney, should be returned. This is especially important in the case of evidence, which should be returned to the investigative agency which obtained it.

EOUSA Resource Manual 124 states: “Papers in closed litigative case files that are duplicated in the records of Federal courts may be removed and destroyed.” If in doubt as to whether or not certain papers in the file are duplicated in Federal courts, they are to be retained in the case file. Items listed below that are generally duplicated in Federal courts are identified with an asterisk (*).

The items listed below are not meant to be all-inclusive! There may be additional documents relating to immigration, bankruptcy, or other matters which will require a decision on the part of the U.S. Attorney's office as to whether or not copies are filed in the Federal court, or if they are required for a basic understanding of the file or for file integrity.

The case file *should* contain:

indictments *

litigation reports

investigative reports

pertinent Grand Jury materials, including transcripts, which should be packaged based on local procedures. For example, many districts place Grand Jury material in large envelopes or other containers, seal them, and mark them “Grand Jury Material,” and place them in boxes along with the rest of the case file material.

all pleadings *

all external and internal correspondence

The National Archives and Records Administration defines correspondence as “Letters, postcards, memorandums, notes, telecommunications, and any other form of addressed, written communications that are sent and received.” These differ from hand-written notes, which are usually written to the file or to other attorneys or supervisors, and which may or may not be considered record material based on the content and whether or not they add to a proper understanding of case actions.

“External” refers to correspondence received and sent to outside activities (law firms, other Federal, State and local agencies, etc.). “Internal” would include any formal correspondence received or sent between the USA and EOUSA, other Department components, or within the USA component itself.

discovery documents filed with the court; e.g., interrogatories, requests for production, admissions, authentications, indexes, etc. *

evidentiary materials cited in pleadings or arguments or pertinent to decisions reached for strategies pursued in litigation (could be attached to pleadings)

documents entered as official exhibits for trials and depositions (excluding oversized presentation exhibits)

relevant depositions

transcripts; e.g., trial, hearings, oral argument, etc. *

all court orders, decisions, judgments, findings, stipulations, etc. *

all relevant settlement documents and appeal documents *

notes and memoranda that explain and document strategies devised and decisions reached during the litigation

documents having intrinsic research value

asset forfeiture/debt collection documents (some U.S. Attorneys' offices establish a debt collection file maintained separately from the litigation case file (see **Item 15, Exhibit D, Chapter 4, Title 3, United States Attorneys' Manual**))

Form USA-207, Notice to Close Legal Case File, signed by the Assistant U.S. Attorney

The case file *should not* contain:

drafts, unless they were circulated or made available to employees other than the creator, for official purposes, such as approval, comment, action, recommendation, follow-up, or to communicate with staff about case business and they contain unique information, such as substantive annotations or comments that add to a proper understanding of the case actions

telephone notes unless they add to a proper understanding of case actions

work files unless they add to a proper understanding of case actions

research materials

duplicate copies of documents

published materials

notes without future research value

documents collected during discovery but not used as official exhibits, documents or proceedings not cited in court, or documents not directly used in arguing the case or developing the litigation strategy

original submitted documents (include, however, a note to the file detailing the disposition of the submitted documents -- usually they are returned to the agency or originator or destroyed if the originator refuses them)

oversized exhibits made for presentation purposes; e.g., charts, photographs, etc. non-paper exhibits or materials; e.g., guns, pieces of equipment, tissue samples, etc.

pertinent information recorded on micrographic, audiovisual, or electronic media unless they fully meet strict requirements specified in 36 CFR, Chapter XII. Generally, the file should contain a printed transcription of any such pertinent information.

10.2. Expungement Orders

Procedures for the court ordered disposition of records are covered by two Departmental orders:

DOJ Order 2710.7D, dated May 3, 1993, Recordkeeping for Violations Committed Under the Controlled Substance Act.

DOJ Order 2710.10A, dated April 20, 1990, Federal Court Orders for the Disposition of Official Records other than under the Controlled Substance Act.

Under the Controlled Substance Act, an order of deferred entry of judgment may be entered if the defendant is placed on probation not to exceed one year under 21 USC 844 and 18 USC 3607. At the expiration of the term of probation, the proceedings are dismissed and the defendant is discharged from probation. The Information Management and Security Staff, Justice Management Division, is responsible for maintaining the nonpublic record required by the statutes. All other copies must be eliminated.

The United States Attorneys' offices are responsible for executing court orders to seal or expunge records not specifically covered by 21 USC 844 or 18 USC 3607.

With respect to your office's case management system, it is necessary to update the Criminal record so that personal identifiers are eliminated. To do so, follow the update procedures and change the following fields to "EXPUNGED":

Physical Location - You can track the location of files that are stored in the office prior to being sent to the Federal Records Center. Enter the appropriate location; e.g., File Room - 2nd floor. This is a local field with definitions established by your district.

FRC # - Some districts assign an in-house number to files that are stored in the office prior to being sent to the Federal Records Center. This is a local field and the numbers are established by your district.

10.4. The FRC Module

The FRC Module has been designed to allow you to track closed files in accordance with the Department's records management program. See the **United States Attorneys' Manual, Title 3-4.434**.

To access the FRC module from the LIONS Main Menu, click on the FRC option or press **ALT + F**. The following pull-down menu displays.

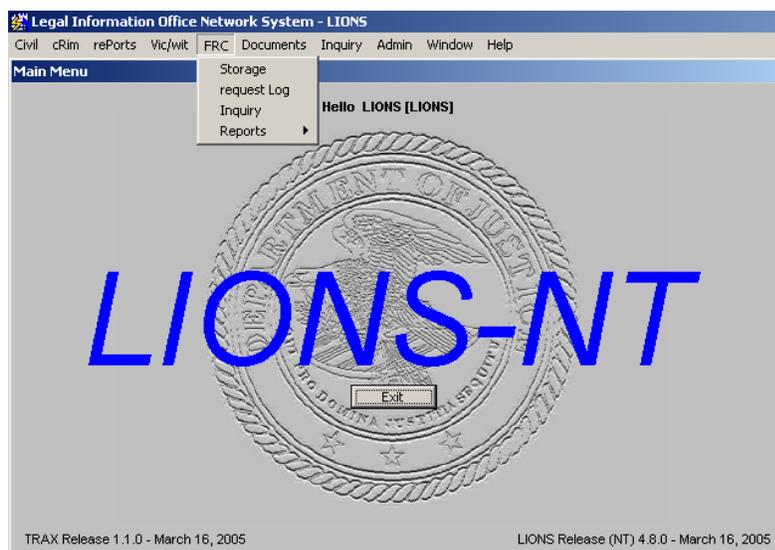


Figure 10-2. Federal Records Center Menu

There are several options on this pull-down menu. The **STORAGE** option allows you make entries into an automated log of all files to be shipped to the FRC. The **REQUEST LOG** option allows you to keep an automated log of all requests made to the FRC for retrieval of files. The **INQUIRY** option allows you to query up information about a file that has already been shipped to the FRC to ascertain the accession number, accession location, and box number.

Before you enter data into the **FRC STORAGE** form, it is recommended that you run the report called **Cases Not Sent to FRC** off the FRC Reports Menu. This report will provide a worksheet of all cases closed within a date range entered by the user. The following information is listed on the report:

Case Caption - AUSA - Court - Court # - Disp Date - USAO# - Case Destruction Date

Additionally, it provides spaces to enter the following information by the individual responsible for gathering the files for shipment:

Accession # - Box Number - Number of Folders in the Case - Folder Description

After the worksheet is completed and files are boxed for shipment to the FRC, the user is ready to enter data into the **FRC STORAGE** form.

10.5. FRC Storage

To access the FRC Storage form from the FRC pull-down menu, click on the option called Storage or press **S**. The FRC Storage form screen opens. When the form opens, there is a message asking the user to select which number is used to ship files to the FRC: the system generated USAOID or an office designated FRC number that is assigned to the file after it is closed.

The answer to this prompt will dictate what number appears in the lower left-hand column of the screen. If an office is going to use the FRC number to ship files, this number *MUST* be entered into LIONS. You can do so through the Miscellaneous Numbers screen discussed in Section 10.3 of this chapter.

Once the user has selected the kind of number used to ship files to the FRC, the full screen displays.

Figure 10-3. FRC Storage Form

The form will be in INSERT mode, and the cursor will be at the field called Total Number of Boxes when you open the form. The Storage ID and the Branch will be defaulted by LIONS.

Storage ID - This is a system generated number which is created when the Total Number of Boxes is entered for a new Accession group; it can be used to query the group.

Branch - Enter the code of the USAO branch shipping the records to FRC. The code will be defaulted to the Branch of the user who is logged on and entering data into this screen; it can be changed. (LOV)

Enter the following information:

Total Number of Boxes - Enter the total number of boxes in the Accession. Format is NNNN; e.g., **0050**.

Accession Number - Enter the Accession number for the group being shipped. This number is not required on initial entry of the group, but will be necessary to print the report to accompany your shipment to the FRC.

Date Sent - Enter the date the shipment was sent to the FRC in the following format DD-MON-YYYY.

Location Num - Enter the storage location at the FRC for the group shipped. This is a free-form field.

Destruction Date - Enter the date files shipped in the group may be destroyed by the FRC. When cases are queried in the lower block of this form, the case destruction date displays. The Accession Destruction Date should be the latest of all case destruction dates for the group.

Item Number - Enter the USAO Item Number which best describes the kind of files which will be shipped in the group; e.g., 4: Civil and Criminal Cases Involving Sentences 10 Years or Less.

After you have entered all data in the Storage block, use **CTRL + PAGE DOWN** to move to the Folders block. See **Figure 10-4** below.

| FOLDERS | | | | | |
|---------|---------|--------------|-------|-------------|--------------------|
| FRC # | Caption | Destruc Date | Box # | Num Folders | Folder Description |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

Figure 10-4. FRC Folder Block

In this block enter the following information for each case that will be shipped to the Federal Records Center in this Accession:

USAOID/FRC# - The number reflected in this column depends on how the user answers the initial prompt. A USAOID will always exist for cases in the LIONS system. However, if you answer FRC# to the initial prompt, numbers will only appear in this field if you have entered them in LIONS through the Miscellaneous Numbers screen discussed in Section 10.3 of this chapter.

Caption - The Case Caption previously entered will be queried. READ ONLY FIELD.

Destruction Date - This date will be generated by LIONS when a case is closed. These dates are calculated based on the rules found in the United States Attorneys' Manual. READ ONLY FIELD.

Box # - This number defaults to 0001 for all cases initially queried and should be changed. Enter the box number(s) where the case is located. If the case is located in more than one box, enter a range of boxes; e.g., 0001-0010. Numbers should be entered in the following format: NNNN for individual box numbers and NNNN-NNNN for a range of boxes.

Num Folders - Enter the number of folders for each case within a box or a range of boxes. (Optional)

Folder Description - Enter up to 25 characters to describe the types of records within a box or a range of boxes; e.g., Correspondence. (Optional)

You can enter the same case several times in this block. You may want to do this if you are sending different types of records for a case. Use the Folder Description field to describe different types of records being sent. When the data in the bottom block accurately reflects the cases being shipped in the Accession, you are now ready to save the group.

To save data and continue in the form, press **F10**. The following message will notify you that your transaction request has been completed and your records have been saved to the database.

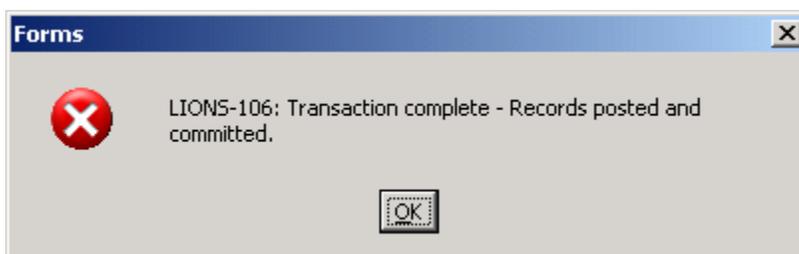


Figure 10-5. Save Message

If you completed making all entries and want to save and exit the form, click on the **Exit** icon.

To save your data and exit the form, click on the **Yes** button.

To exit the form without saving the data you have just entered, click on the **No** button.

To cancel your request and stay in the form, click on the **Cancel** button.

10.6. FRC Request Log

This screen is designed to keep a log of all requests made by the USAO to the FRC for retrieval of records. To access this screen, click on the request Log option from the FRC pull-down menu or press **L**. The FRC Request Log screen displays.

Figure 10-7. FRC Inquiry Form

To query a file that has been shipped to the FRC, you have two options. If the file was shipped using the USAOID, enter that number in the appropriate field and press **F8**. If the file was shipped using a USAO designated FRC#, then enter that number in the appropriate field and press **F8**. The following fields of information display and are READ ONLY.

USAOID - The system-generated number assigned to the file.

Caption - The Caption of the case.

Status - The status of the case at the time of shipment to the FRC displays.

FRC# - If a USAO designated FRC# was used to ship a file to the FRC, then this number displays.

Accession # - The Accession number of the group in which the file you have queried was shipped to the FRC.

Destruction Date - The Accession destruction date.

Location - The location of the Accession at the FRC.

Box - The box number in which the file is located, and the total number of boxes in the Accession; e.g., Box 1 of 50.

10.8. FRC Reports

The LIONS application provides several standard FRC reports. To access the appropriate menu to run these reports, click on the option called Reports on the FRC pull-down menu or press **F**. The following additional pull-down menu displays.

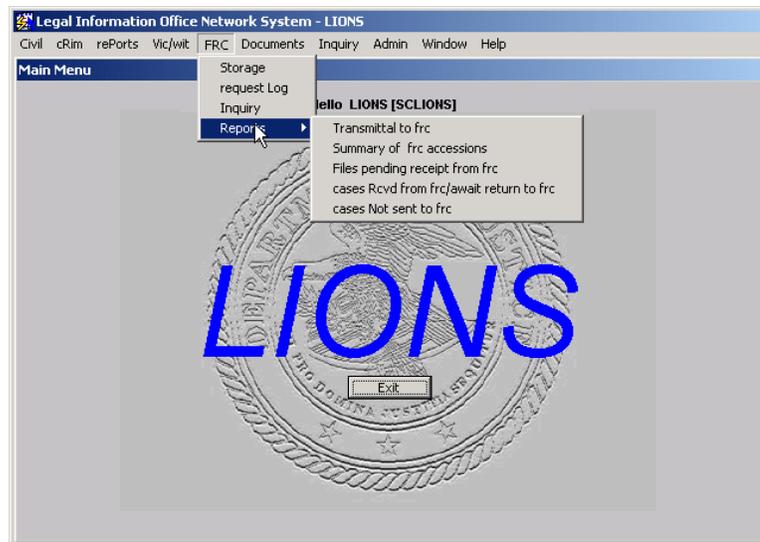


Figure 10-8. FRC Reports Menu

The following is a brief description of each report.

Transmittal to FRC - Provides the listing that should accompany the SF 135 when records are shipped to FRC. It includes all required information: Accession Number, Box Number, Accession Location, USAO#, and the names of defendants or litigants in each case.

Summary of FRC Accessions - Provides a list of all FRC Accessions shipped by the USAO and recorded in the LIONS system. It includes the following pieces of information: Accession Number, Accession Location, Date Sent to FRC, Accession Destruction Date, Total Number of Boxes in the Accession, Total Number of Files in the Accession, and the Storage ID for the Accession.

Files Pending Receipt from FRC - Provides a list of files which have been requested from the FRC that have not yet been received by the USAO.

Files Received from FRC and awaiting return to FRC - Provides a list of files retrieved from the FRC that have not yet been returned to the FRC by the USAO.

Files Not Sent to FRC - Prints a worksheet for USAO personnel responsible for collecting and boxing files to be shipped to the FRC.

11.0 REPORT GENERATION

The LIONS Reports function is capable of generating a number of reports that provide the United States Attorneys and the Executive Office for the United States Attorneys (EOUSA) with information to help manage the case workload. These reports help serve the following functions:

They allow offices to create caseload calendars for individual employees, as well as units in the office. They allow the United States Attorney and other supervisors to monitor the office's workload, to make case assignments, and to respond to ad hoc inquiries from the Department or local community. They are used by EOUSA to respond to numerous requests for statistical information from the Office of Management and Budget, the Congress, and the public, and to produce management reports for use within the Department of Justice.

They provide the figures for the Attorney General's Annual Report and the United States Attorneys' Annual Statistical Report.

They provide the information submitted to the Department's Case Management System, which is maintained for the use of Department policy makers by the Justice Management Division.

They are used to formulate budget estimates, to justify budget requests, and to allocate resources, including personnel, among the various districts.

Note: Reports are run off of a centralized server, resulting in a 30 minute delay in retrieving information.

From the LIONS Main Menu, you can access the report options by clicking on the **reP**orts pull-down menu or press **ALT + P** (see **Figure 11-1**). The options for reports include:

| | |
|---------------------|----------------------|
| Calendars | Statistical |
| Pending Workload | General |
| Terminated Workload | Index |
| Query | List |
| Quality Control | User-Written Reports |

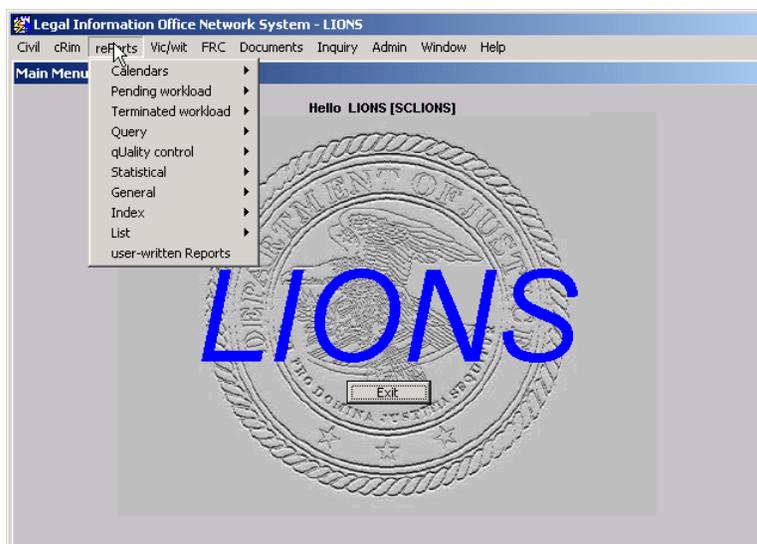


Figure 11-1. Reports Main Menu

Most of these categories include both Civil and Criminal options and a few include General options as well. Generally, specific parameters for these reports include a date range and/or a USAOID number. Additional information may be required in specific reports.

There are far too many reports to discuss each one individually. However, a number of commonly used reports in the Query and Quality Control categories are addressed in the sections that follow.

11.1. Query

A Civil or Criminal case query can be run on all the specific case information (Case Query) or simply the case history information (Case History). The procedures for accessing and/or printing a specific Civil or Criminal query are the same. The following procedures show how to access and print a Civil Case History Report.

From the LIONS Main Menu, select **Reports > Query > Civil > Case History**. The Civil Case History Report (Figure 11-2) displays. Enter the USAOID number for the specific case you want to query and click on **Continue**.

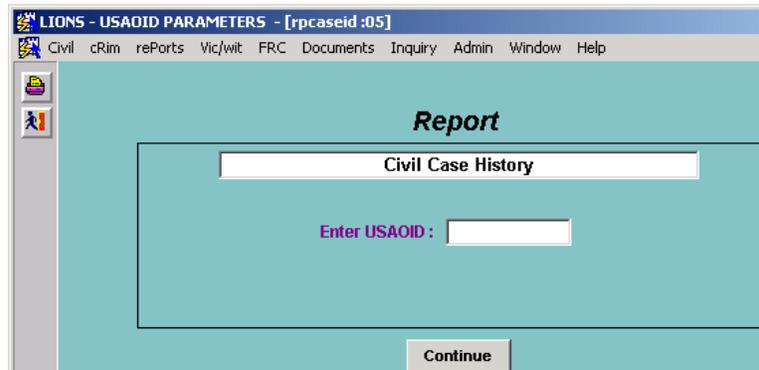


Figure 11-2. Civil Case History Report

When a report is requested, a menu with four options is displayed (Figure 11-3).

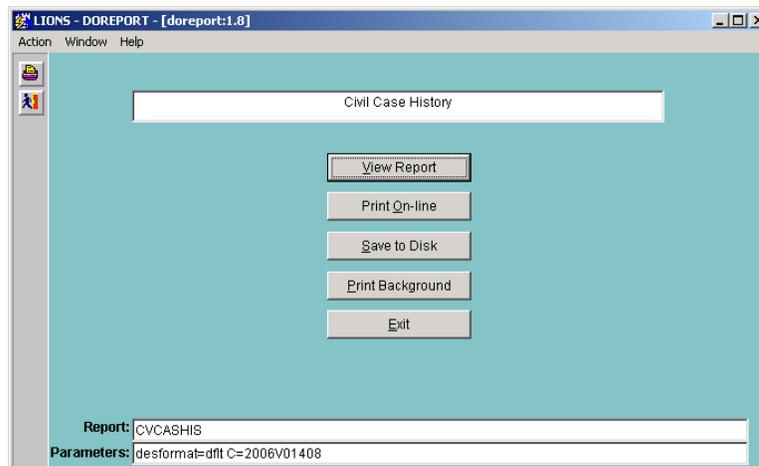


Figure 11-3. Report Generation Options Screen

Detailed information on the View Report, Print On-line, Save to Disk, and Print Background options can be found in Chapter 2, Section 2.11.

The Print button on the View Option Screen should *NOT* be used because it does not format the report correctly. Use one of the print options described below.

11.2. Quality Control

Quality Control reports provide Aging and Certification information on Civil and Criminal cases. The more common reports are the Certification reports designed to help track authenticated case information at

least several times a year. These reports are run either by Event or by Review (AUSA staff/Lead Attorney). The process is the same for both Civil and Criminal.

11.2.1. Case Certification/Event

To run the Criminal Case Certification by Event report (Procedures for Civil and Criminal are the same), select **Reports** from the Main Menu. Then select **Quality Control > Criminal > Certification > Event**.

Figure 11-4. Criminal Case Certification by Event

Enter Initials - Select the initials from the LOV (F9) of the AUSA staff. The symbol % will select all.

Enter Sort Order - The report can be sorted by:

- **C** Cause of Action
- **N** Case Name
- **U** USAO Number

Enter Beginning Date - Enter the start date for the period covered by this report.

Enter Ending Date - Enter the end date for the period covered by this report.

Click on Continue to generate report. The report generation screen displays with the options for viewing or printing (see **Figure 11-3**).

11.2.2. Case Certification/Review

To run the Case Certification by Review report, select **Reports** from the Main Menu. Then select **Quality Control > Criminal > Certification > Review**.

Figure 11-5. Criminal Case Certification Review

Enter Initials - Select the initials from the LOV (F9) of the AUSA staff. The symbol "%" will select all.

Sort By - Select CASEID or Caption.

Click on Continue to generate report. The report generation screen displays with the options for viewing or printing (see Figure 11-3).

APPENDIX A - LIONS CODE LIST

| | |
|------------------------------------|----|
| ACTION CODES (LOCAL)..... | 4 |
| ADR MODE..... | 4 |
| AGENCY | 4 |
| AGENCY OFFICE (LOCAL)..... | 12 |
| APPEAL TYPE | 12 |
| BOND TYPE | 12 |
| BRANCH (LOCAL)..... | 12 |
| BUSINESS TYPE (LOCAL)..... | 12 |
| CASE CLASS | 12 |
| CASE STATUS..... | 12 |
| CASE TYPE (LOCAL)..... | 12 |
| CASE WEIGHT (LOCAL)..... | 13 |
| CAUSE OF ACTION..... | 13 |
| CHARGE CATEGORY | 19 |
| CHARGE TYPE | 19 |
| CIVIL POTENTIAL..... | 19 |
| COLLECTIONS INDICATOR | 19 |
| CONTACT PURPOSE (LOCAL) | 19 |
| CONTACT TYPE (LOCAL) | 19 |
| CONTROL SUBSTANCE TYPE..... | 19 |
| COUNSEL TYPE (LOCAL) | 20 |
| COUNTRY OF CITIZENSHIP | 20 |
| COURT..... | 22 |
| COURT LOCATION (LOCAL)..... | 22 |
| CRIMINAL POTENTIAL | 22 |
| CUSTODY LOCATION..... | 22 |
| DEFENDANT STATUS..... | 24 |
| DETENTION REASON (LOCAL) | 25 |
| DISPOSITION CODES | 25 |
| DISPOSITION REASON..... | 28 |
| DOJ DIVISION | 30 |
| DOMESTIC TERRORISM INDICATOR | 30 |
| EMPLOYER TYPE..... | 30 |
| EVENT (LOCAL) | 31 |

| | |
|-----------------------------------------|----|
| EVIDENCE DISPOSITION (LOCAL)..... | 32 |
| EVIDENCE LOCATION (LOCAL) | 32 |
| EVIDENCE TYPE (LOCAL)..... | 32 |
| EXPERT SIDE | 32 |
| EXPERT TYPE (LOCAL)..... | 32 |
| GENDER | 32 |
| GUIDELINES DEPARTURE..... | 32 |
| HEALTH CARE BUSINESS TYPE | 32 |
| IMMIGRATION STATUS (LOCAL) | 33 |
| INCARCERATION TYPE..... | 33 |
| INITIATOR | 34 |
| INSTRUMENT TYPE | 34 |
| JOB POSITION (LOCAL)..... | 34 |
| JUDGE (LOCAL) | 34 |
| JUDGE TYPE (LOCAL)..... | 34 |
| LITIGATING RESPONSIBILITY | 34 |
| LITIGATION TRACK (LOCAL) | 35 |
| MEASURE | 35 |
| OCCUPATION | 35 |
| PARTICIPANT TYPE..... | 36 |
| PENALTY PROVISION | 36 |
| POSITION (LOCAL) | 37 |
| PRIORITY | 37 |
| PROGRAM CATEGORY | 37 |
| PROPERTY TYPE (LOCAL) | 44 |
| PROPERTY VALUE TYPE (LOCAL)..... | 44 |
| QUI TAM INDICATOR | 44 |
| RELATED CASE REASON (LOCAL)..... | 44 |
| RELATED PARTICIPANT REASON (LOCAL)..... | 44 |
| RELIEF LIABILITY | 44 |
| RELIEF REQUESTED BY | 44 |
| RELIEF STAGE | 45 |
| RELIEF TYPE | 45 |
| RESERVATION | 45 |
| RESTITUTION RECIPIENT | 45 |
| RESTITUTION TYPE..... | 45 |
| ROLE | 45 |

| | |
|-------------------------------------|----|
| SECURITY (LOCAL) | 46 |
| SERVICE AGENCY TYPE (LOCAL)..... | 46 |
| SERVICE LANGUAGE TYPE (LOCAL) | 47 |
| SPECIAL CONDITIONS | 47 |
| SPECIAL PROJECT..... | 47 |
| SPECIAL SERVICES | 47 |
| STAFF INITIALS (LOCAL)..... | 47 |
| STAFF TITLE (LOCAL)..... | 47 |
| STATE..... | 47 |
| STORAGE ITEM NUMBER | 49 |
| TERMINATED REASON | 49 |
| TRIBE..... | 49 |
| UNIT (LOCAL) | 59 |
| US ROLE | 60 |
| VICTIM TYPE..... | 60 |
| VICTIM/WITNESS..... | 60 |

All codes in LIONS can be accessed from the appropriate field during data entry. You may add new codes to any code table in this Appendix that is marked (Local) without permission from the Executive Office for U.S. Attorneys.

ACTION CODES (Local)

(Codes to be designated by the District)

The following action code is used in connection with the Victim/Witness System:

CA Cancelled

ADR MODE

A Arbitration
 E Early Neutral Evaluation
 M Mediation
 SB Summary Bench Trial
 SC Court Ordered Settlement Conference
 SJ Summary Jury Trial

AGENCY

Agriculture

AGCC Farm Service Agency/Commodity Credit Corp
 AGER Economic Research Service
 AGFC Risk Management Agency
 AGFL Farm Service Agency/Farm Loan Program
 AGFM Rural Development Agency/Other than Single Family Housing
 AGFO Food & Consumer Service
 AGFS Forest Service
 AGMC Marketing & Consumer Service
 AGRE Rural Utilities Service
 AGRI All Other Agriculture
 AGRS Agricultural Research Service
 AGSC Natural Resources and Conservation Service
 AGSF Rural Development Agency/Single Family Housing/SCS

Commerce

CDAR Appalachian Regional Commission and some defunct Regional Commissions
 CDBC Census Bureau
 CDBS National Institute of Standards and Technology
 CDEA Bureau of Economic Analysis
 CDED Economic Development Administration
 CDES Environmental Science Service Administration
 CDIE Bureau of Industrial Economics
 CDIT International Trade Administration
 CDMB Minority Business Development Agency
 CDMS Management Service Center
 CDNT National Technical Information Service
 CDOA National Oceanic and Atmospheric Administration
 CDOS All Other Commerce
 CDPT Patent Office
 CDTT U.S. Travel and Tourism Administration

Defense

DEAF Air Force
 DEAR Army

DEAX Army Supply Agency
DEDS Defense Supply Agency
DEFE All Other Defense
DEFZ Joint Defense/State or Local Task Force
DEIA Defense Intelligence Agency
DEIG Office of the Inspector General
DEMC Marine Corps
DENV Navy
DEOC OCHAMPUS
DESA Defense Security Assistance Agency
DESC Defense Electronics Supply Center

Department of Education

EDIG Office of Inspector General
EDUC Department of Education

Executive Department

EXOG Office of Government Ethnicity
EXOM Office of Management and Budget
EXWH Executive Office of the President (White House)

Energy

ENBP Bonneville Power Administration
ENER All Other Energy
ENFP Federal Energy Regulatory Commission
ENID Department of Energy (Idaho)
ENOR Department of Energy (Oak Ridge)

Health and Human Services

HHAA Administration on Aging
HHAC Administration for Children & Families
HHCA Bureau of Health Care Delivery and Assistance
HHCD Center for Disease Control
HHCF Centers of Medicare and Medicaid
HHCS Office of Community Services
HHFD Food and Drug Administration
HHHP Bureau of Health Professions
HHIG Office of the Inspector General
HHNI National Institute of Health
HHPH Public Health Service
HHPI Indian Health Service/PHS
HHRH Health Resources Service Administration
HHSZ Joint HHS/State or Local Task Force
HHS All Other HHS

Homeland Security

HSCB Bureau of Customs & Border Protection
HSCE Bureau of Immigration & Customs Enforcement (ICE)
HSCG United States Coast Guard
HSCI Citizen & Immigration Services
HSEM Federal Emergency Management Agency
HSFF Forfeiture Fund Section
HSSS United States Secret Service
HSTS Transportation Security Administration
HSZZ Joint Homeland Security Agency /State/Local Task Force

Housing and Urban Development

HUDZ Joint HUD/State or Local Task Force
 HUFH Federal Housing Administration
 HUGM Government National Mortgage Association
 HUHA Housing Payments Assistance Administration
 HUD All Other HUD

Interior

INBM Bureau of Mines
 INBR Bureau of Reclamation
 INFW Fish and Wildlife Service
 INFZ Joint Fish & Wildlife Service/State or Local Task Force
 INGS Geological Survey
 INIA Native American Affairs Bureau
 INLM Land Management Bureau
 INLZ Joint Bureau of Land Management/State or Local Task Force
 INMM Minerals Management Service
 INNH Navajo and Hopi Indian Relocation
 INNP National Park Service
 INSM Office of Surface Mining
 INTE All Other Interior

Internal Revenue Service

IRS All Internal Revenue
 IRSZ Joint IRS/State or Local Task Force

Justice

JUAF Alcohol, Tobacco, Firearms and Explosives
 JUAZ Joint Alcohol, Tobacco, Firearms, Explosives /State or Local Task Force
 JUBP Bureau of Prisons
 JUDE Drug Enforcement Administration
 JUDZ Joint DEA/State or Local Task Force
 JUFB Federal Bureau of Investigation
 JUFZ Joint FBI/State or Local Task Force
 JUIG Office of the Inspector General
 JUMS U.S. Marshals Service
 JUMZ Joint Marshals/State or Local Task Force
 JUOJ Office of Justice Programs
 JUPC Parole Commission
 JUPI Federal Prison Industries
 JUST All Other Justice
 JUTR U.S. Trustees

Labor

LABL ESA/Office of Workers Comp Program/Black Lung
 LABO All Other Labor
 LABZ Joint Labor/State or Local Task Force
 LAEC Employees Compensation Appeals Board
 LAET Employment and Training Administration
 LALS Bureau of Labor Standards
 LAMS Mine Safety and Health Administration
 LAOS Occupational Safety and Health Administration
 LAPB Pension and Welfare Benefits Administration
 LAVR Veterans Employment and Training
 LAWP Employment Standards Administration Wages/Hour/Public Contracts Restitution Fund

Postal Service

PSUS U.S. Postal Service
 PSUZ Joint Postal Service/State or Local Task Force

State

SDIB International Boundary and Water Commission
 SDOS All Other State

Transportation

TDFH Federal Highway Administration
 TDFR Federal Railroad Administration
 TDFV Federal Aviation Administration
 TDMA Maritime Administration
 TDOT All Other Transportation
 TDOZ Joint Transportation/State or Local Task Force

Treasury

TRCC Comptroller of the Currency
 TRDC Division of Check Claims
 TREA All Other Treasury
 TRFM Department of Treasury - Financial Management Staff
 TRJF Treasury Department - Judgment Fund
 TRSB Bureau of Public Debt, U.S. Savings Bond Division

Independent Agencies

ZABL U.S. Army Corps of Engineers-Baltimore (MD) District
 ZACA U.S. Army Corps of Engineers-New England District
 ZACB U.S. Army Corps of Engineers-Pittsburgh (PA) District
 ZACC U.S. Army Corps of Engineers-Louisville (KY) District
 ZACD U.S. Army Corps of Engineers-Mobile (AL) District
 ZACE U.S. Army Corps of Engineers
 ZACF U.S. Army Corps of Engineers-Detroit (MI) District
 ZACG U.S. Army Corps of Engineers-Anchorage (AK) District
 ZACH U.S. Army Corps of Engineers-Huntington (WV) District
 ZACI U.S. Army Corps of Engineers-Kansas City (MO) District
 ZACJ U.S. Army Corps of Engineers-Jacksonville (FL) District
 ZACK U.S. Army Corps of Engineers-St. Louis (MO) District
 ZACL U.S. Army Corps of Engineers-Rock Island (IL) District
 ZACM U.S. Army Corps of Engineers-Galveston (TX) District
 ZACN U.S. Army Corps of Engineers-Charleston (SC) District
 ZACO U.S. Army Corps of Engineers-Nashville (TN) District
 ZACP U.S. Army Corps of Engineers-Fort Worth (TX) District
 ZACQ U.S. Army Corps of Engineers-New Orleans (LA) District
 ZACR U.S. Army Corps of Engineers-Portland (OR) District
 ZACS U.S. Army Corps of Engineers-Omaha (NE) District
 ZACT The Federal Domestic Volunteer Agency (ACTION)
 ZACV U.S. Army Corps of Engineers-Vicksburg (MS) District
 ZACW U.S. Army Corps of Engineers-Granite Goose Project
 ZAID Agency for International Development
 ZARC Architect of the Capitol
 ZATK Amtrak
 ZBBG Broadcasting Board of Governors
 ZCFT Commodities & Futures Trading Commission
 ZCIA Central Intelligence Agency
 ZCPS Consumer Product Safety
 ZCTA USDC-CVB-Denver
 ZCTB USDC-CVB-San Antonio

ZCTS US Courts
ZCUA National Credit Union Administration
ZEEO Equal Employment Opportunity Commission
ZEIB Export/Import Bank of the U.S.
ZEPA Environmental Protection
ZEPZ Joint EPA/State or Local Task Force
ZFCA Farm Credit Administration
ZFCC Federal Communications Commission
ZFDI Federal Deposit Insurance Corporation (Banks ONLY)
ZFDT Federal Deposit Insurance Corp. (S&L's or "Thrifts" ONLY)
ZFEC Federal Elections Commission
ZFHL Office of Thrift Supervision
ZFIB Federal Retirement Thrift Investment Board
ZFMC Federal Maritime Commission
ZFRB Federal Reserve System
ZFTC Federal Trade Commission
ZGAO General Accounting Office
ZGPO Government Printing Office
ZGPS Public Building Service
ZGSA General Services Administration
ZGSF Federal Supply Service
ZGSN National Archives & Records Service
ZGSP Gen. Services Administration (Presidential Commission)
ZHOR U.S. House of Representatives
ZICC Surface Transportation Board
ZLOC Library of Congress
ZLRB National Labor Relations Board
ZMCC Millennium Challenge Corporation
ZMSP Merit System Protection Board
ZNAL NASA-Marshall Space Center
ZNAS National Aeronautics and Space Administration
ZNCA NASA-AMES Research Center
ZNEA National Endowment for the Arts
ZNFL NASA-Kennedy Space Center
ZNMD NASA-Goddard Space Center
ZNMS NASA-Stennis Space Center
ZNOH NASA-Lewis Research Center
ZNRC Nuclear Regulatory Commission
ZNSA National Security Agency
ZNSF National Science Foundation
ZNTS National Transportation Safety Board
ZNTX NASA-Johnson Space Center
ZNVA NASA-Langley Research Center
ZOIC Overseas Private Investment Corporation
ZOPM Office of Personnel Management
ZPBG Pension Benefit Guarantee Corporation
ZPEA Peace Corps - Not to be used for collections
ZPPC National Capital Park and Planning Commission
ZRRB Railroad Retirement Board
ZSBA Small Business Administration
ZSEC Securities & Exchange Commission
ZSEN United States Senate
ZSMI Smithsonian Institute
ZSSA Social Security Administration
ZSSS Selective Service System
ZTAT State/County/Municipal Authorities

ZTAZ Joint State/Local Led Task Force
 ZTDA U.S. Trade and Development
 ZTVA Tennessee Valley Authority Commission

District of Columbia

WDC All other District of Columbia
 WDSC Court Services Offender Supervision Agency
 WDMP Metropolitan Police Department
 WDOS Court Offender Supervision
 WDPW Department of Public Welfare
 WDRL Redevelopment Land Agency
 WDUC Unemployment Compensation Board
 MPD1 Metropolitan Police Dept - 1D (DC ONLY)
 MPD2 Metropolitan Police Dept - 2D (DC ONLY)
 MPD3 Metropolitan Police Dept - 3D (DC ONLY)
 MPD4 Metropolitan Police Dept - 4D (DC ONLY)
 MPD5 Metropolitan Police Dept - 5D (DC ONLY)
 MPD6 Metropolitan Police Dept - 6D (DC ONLY)
 MPD7 Metropolitan Police Dept - 7D (DC ONLY)

Other

OTHR Other

Veterans Administration

Major Offices

VA Veterans Administration
 VASP Regional Office and Insurance Center (CARS) St. Paul, Minnesota
 VATX Data Processing Center - Austin, Texas
 VAZZ Joint Veterans/State or Local Task Force

Other VA Regional Offices

VRAK Alaska/Anchorage
 VRAL Alabama/Montgomery
 VRAR Arkansas/Little Rock
 VRAZ Arizona/Phoenix
 VRCD Colorado/Denver
 VRCH Connecticut/Hartford
 VRCS California/San Diego
 VRDC District of Columbia/Washington
 VRDE Delaware/Wilmington
 VRFL Florida/St. Petersburg
 VRGA Georgia/Atlanta
 VRHI Hawaii/Honolulu
 VRIA Iowa/Des Moines
 VRID Idaho/Boise
 VRIL Illinois/Chicago
 VRIN Indiana/Indianapolis
 VRKS Kansas/Wichita
 VRKY Kentucky/Louisville
 VRLA Louisiana/New Orleans
 VRLS California/Los Angeles
 VRMA Massachusetts/Boston
 VRMD Maryland/Baltimore
 VRME Maine/Togus
 VRMI Michigan/Detroit
 VRMO Missouri/St. Louis
 VRMS Mississippi/Jackson

VRMT Montana/Fort Harrison
VRNB New York/Buffalo
VRNC North Carolina/Winston-Salem
VRND North Dakota/Fargo
VRNE Nebraska/Lincoln
VRNH New Hampshire/Manchester
VRNJ New Jersey/Newark
VRNM New Mexico/Albuquerque
VRNV Nevada/Reno
VRNY New York/New York
VROH Ohio/Cleveland
VROK Oklahoma/Muskogee
VROR Oregon/Portland
VRPH Pennsylvania/Philadelphia
VRPP Pennsylvania/Pittsburgh
VRPR Puerto Rico/Hato Rey
VRRJ Rhode Island/Providence
VRSC South Carolina/Columbia
VRSD South Dakota/Sioux Falls
VRSF California/San Francisco
VRTH Texas/Houston
VRTN Tennessee/Nashville
VRTW Texas/Waco
VRUT Utah/Salt Lake City
VRVA Virginia/Roanoke
VRVT Vermont/White River Junction
VRWA Washington/Seattle
VRWI Wisconsin/Milwaukee
VRWV West Virginia/Huntington
VRWY Wyoming/Cheyenne

Transferring Districts

ALN Alabama-Northern
ALM Alabama-Middle
ALS Alabama-Southern
AK Alaska
AZ Arizona
ARE Arkansas-Eastern
ARW Arkansas-Western
CAN California-Northern
CAE California-Eastern
CAC California-Central
CAS California-Southern
CD Canada
CO Colorado
CT Connecticut
DE Delaware
DC District of Columbia
FLN Florida-Northern
FLM Florida-Middle
FLS Florida-Southern
GAN Georgia-Northern
GAM Georgia-Middle
GAS Georgia-Southern
GU Guam
HI Hawaii

| | |
|-----|--------------------------|
| ID | Idaho |
| ILN | Illinois-Northern |
| ILS | Illinois-Southern |
| ILC | Illinois-Central |
| INN | Indiana-Northern |
| INS | Indiana-Southern |
| IAN | Iowa-Northern |
| IAS | Iowa-Southern |
| KS | Kansas |
| KYE | Kentucky-Eastern |
| KYW | Kentucky-Western |
| LAE | Louisiana-Eastern |
| LAM | Louisiana-Middle |
| LAW | Louisiana-Western |
| ME | Maine |
| MD | Maryland |
| MA | Massachusetts |
| MIE | Michigan-Eastern |
| MIW | Michigan-Western |
| MN | Minnesota |
| MSN | Mississippi-Northern |
| MSS | Mississippi-Southern |
| MOE | Missouri-Eastern |
| MOW | Missouri-Western |
| MT | Montana |
| NE | Nebraska |
| NV | Nevada |
| NH | New Hampshire |
| NJ | New Jersey |
| NM | New Mexico |
| NMI | Northern Mariana Islands |
| NYN | New York-Northern |
| NYS | New York-Southern |
| NYE | New York-Eastern |
| NYW | New York-Western |
| NCE | North Carolina-Eastern |
| NCM | North Carolina-Middle |
| NCW | North Carolina-Western |
| ND | North Dakota |
| OHN | Ohio-Northern |
| OHS | Ohio-Southern |
| OKN | Oklahoma-Northern |
| OKE | Oklahoma-Eastern |
| OKW | Oklahoma-Western |
| OR | Oregon |
| PAE | Pennsylvania-Eastern |
| PAM | Pennsylvania-Middle |
| PAW | Pennsylvania-Western |
| PR | Puerto Rico |
| RI | Rhode Island |
| SC | South Carolina |
| SD | South Dakota |
| TNE | Tennessee-Eastern |
| TNM | Tennessee-Middle |
| TNW | Tennessee-Western |
| TXN | Texas-Northern |

| | |
|-----|------------------------|
| TXS | Texas-Southern |
| TXE | Texas-Eastern |
| TXW | Texas-Western |
| UT | Utah |
| VT | Vermont |
| VI | Virgin Islands |
| VAE | Virginia-Eastern |
| VAW | Virginia-Western |
| WAE | Washington-Eastern |
| WAW | Washington-Western |
| WVN | West Virginia-Northern |
| WVS | West Virginia-Southern |
| WIE | Wisconsin-Eastern |
| WIW | Wisconsin-Western |
| WY | Wyoming |

AGENCY OFFICE (Local)

Codes to be designated by the District through Agency Office Picklist option

APPEAL TYPE

| | |
|---|----------------------------|
| A | Appeal from Final Judgment |
| I | Interlocutory Appeal |
| O | Other |

BOND TYPE

| | |
|----|--------------------------------|
| CB | Cash Bond |
| CD | 10% Cash Deposit |
| CO | Collateral (personal property) |
| NS | Non-Surety |
| PS | Personal Recognizance |
| RP | Real Property |
| SU | Surety |

BRANCH (Local)

Codes to be designated by the District

BUSINESS TYPE (Local)

Codes to be designated by the District

CASE CLASS

| | |
|---|----------|
| R | Criminal |
| V | Civil |

CASE STATUS

| | |
|---|-----------------|
| A | Active |
| C | Completed |
| O | Opened in Error |
| R | Reopened |

CASE TYPE (Local)

Codes to be designated by the District

CASE WEIGHT (Local)

Codes to be designated by the District

CAUSE OF ACTION

The codes below are intended to describe the most common civil case types that are handled in the U. S. Attorney's Offices.

There are two types of Civil Cause of Action Codes: general codes and specific codes. The general codes are two letters; the four-letter codes listed below them are more specific. (The Exception to this rule is EAJA.) For example, TO should be used for a Tort case that is not covered by any of the specific Tort codes.

AF - Asset Forfeiture/Money Laundering/Structuring

This code encompasses all non-drug related civil asset forfeiture cases and matters, as well as money laundering/structuring cases and matters, including asset forfeiture seizure warrants and proceedings for the return of seized asset forfeiture property or evidence. Other types of warrants or proceedings for the return of seized property, not related to asset forfeiture, should be opened using the code for subpoena/summons/warrants ("SU") below.

AFCF - Asset Forfeiture - Corporate Fraud

Defined as cases or matters involving:

- (1) Falsification of corporate financial information (including, for example, false/fraudulent accounting entries, bogus trades and other transactions designed to artificially inflate revenue, fraudulently overstating assets, earnings and profits or understating/concealing liabilities and losses, and false transactions designed to evade regulatory oversight);
- (2) Self-dealing by corporate insiders (including, for example, insider trading, kickbacks, misuse of corporate property for personal gain, and individual tax violations related to any such self-dealing);
- (3) Fraud in connection with an otherwise legitimately-operated mutual or hedge fund (including, for example, late trading, certain market-timing schemes, falsification of net asset values, and other fraudulent or abusive trading practices by, within, or involving a mutual or hedge fund); and
- (4) Obstruction of justice, perjury, witness tampering, or other obstructive behavior relating to any of the foregoing categories.

AFDR - Drug Related Asset Forfeiture/Money Laundering/Structuring

This code encompasses all drug related civil asset forfeiture cases and matters, as well as money laundering/structuring cases and matters, including asset forfeiture seizure warrants and proceedings for the return of seized asset forfeiture property. Other types of warrants or proceedings for the return of seized property, not related to asset forfeiture, should be opened using the code for subpoena/summons/warrants ("SU") below.

AM - Administrative Matter

This code is to be used only for non-case related matters, such as commenting upon proposed legislation, citizen correspondence, etc. If the matter evolves into an actual case, the matter should be closed with the closing code "NW," a new court history added with the appropriate court code, and a more specific cause of action code selected. It should be noted that the Department does not count matters assigned this category code when tabulating its statistics.

AD - Admiralty

This code is to be used for all claims, whether for personal injury or property damage, involving seamen, ships, ships' cargo, repair or liens, or other maritime property and aids to navigation. This code should not be used for civil penalty actions ("CV") or environment-related maritime resources actions ("EN").

AN - Antitrust

This code is to be used for all cases or matters arising under the antitrust laws.

AP - Review of Administrative Agency Action

This code is to be used primarily for claims filed under the Administrative Procedures Act (APA), but can include other actions against the government where the opposing party is challenging an agency policy or regulation, or the method of application of a policy or regulation as, for example, being unconstitutional. Note that there is a specific code for actions attacking the constitutionality of a statute (cf. "CN"). The "AP" code should not be used where a more specific code would apply; for example, a Social Security case (cf. "SS"), a FOIA or reverse FOIA case (cf. "FO"), a Privacy Act case (cf. "PV"), or a prisoner case (cf. "PC").

BK - Bankruptcy

The general code of "BK" should only be used for bankruptcy actions that are not brought under, or related to, proceedings under Chapters 7, 11, 12, or 13, or Adversary Proceedings, for which more specific subcategory codes are listed below.

BKAD - Bankruptcy--Adversary Proceeding

BKBE - Bankruptcy--Chapter 11

BKBF - Bankruptcy--Chapter 12

BKBS - Bankruptcy--Chapter 7

BKBT - Bankruptcy--Chapter 13

CN - Constitutionality of Statute

This code is to be used when the main thrust of an action is to challenge the constitutionality of a statute. It does not apply where the attack is upon an agency policy or regulation (cf. "AP" above), or where a declaration of unconstitutionality is ancillary to the primary relief sought, in which case a more specific code should be utilized.

CO - Commercial Litigation/General Claims

The general category code "CO" is intended to encompass a broad range of litigation, whether "affirmative" or "defensive" in nature that primarily involves claims by or against the government for money. Two areas of commercial litigation have separate subcategory codes, however: foreclosures/lien litigation and loan litigation (see below). The general code of "CO" should be used unless one of the more specific subcategory codes listed below applies. Specific actions encompassed by the general category code ("CO") include, for example, actions on notes, government contract litigation, Miller Act and bid protest litigation, actions to exercise rights of redemption, litigation where the government is the stakeholder for proceeds of government insurance policies, international trade and intellectual property (patent, copyright, trademark) litigation and other commercial litigation. This category does not, however, include, civil penalties (cf. "CV"), civil fraud actions (cf. "FR"), garnishments ("GA"), or other actions where more specific codes would apply.

There are a number of additional collection cause of action codes in the "CO" series. Although they are not LIONS codes, they are still active collection codes used only by FLU personnel in TALON to properly route money collected.

Loan Litigation

COHE - Recovery of Health Education Assistance Loans (HEAL)

COHS - Recovery of National Health Service Corps Scholarships (NHSC)

COSL - Student Loan Defaults

Lien LitigationCOLB - Bogus Liens

Actions to cancel or expunge bogus liens filed against Government officials.

COLN - 28 U.S.C. § 2410 Litigation

This encompasses all litigation brought under 28 U.S.C. 2410, whether lodged in state or federal court, including state condemnation proceedings in which a government lien is involved, and regardless of whether the agency is the IRS or some other agency such as the VA, SBA, HUD, etc.

COMC - Foreclosures/Liens—U.S. Plaintiff**CR - Civil Rights**

This category is intended to encompass civil rights actions except employment discrimination actions in which the government is named as the defendant, which should continue to be opened under the code "ED." Civil rights actions may be both "affirmative" and "defensive" in nature, although the majority of such actions are affirmatively brought by the government. The general category code "CR" should only be used if a more specific, subcategory code listed below does not apply.

CRAC - Civil Rights—Access to Clinic Entrances

CRAD - Civil Rights—Americans With Disabilities Act

CREM - Civil Rights—Employment Discrimination (Affirmative Only)

CRFC - Civil Rights—Fair Credit

CRIP - Civil Rights—Rights of Institutionalized Persons

CRTN - Civil Rights—Fair Housing

CRTI - Civil Rights—School Desegregation

CRVR - Civil Rights—Voting Rights

CT - Contempt**CV - Civil Penalty**

This category covers all referrals made by an agency where the primary relief sought is the recovery or enforcement of a civil penalty. The FLU codes "CVAM" and "CVMS," although eliminated as LIONS codes, are still active collections codes to be used only by FLU personnel in TALON to properly route money collected.

DI - Discovery (Pre-Complaint)

This code is intended to capture motions to perpetuate testimony in anticipation of an upcoming civil action.

EAJA - Equal Access to Justice Act

This code applies to requests for attorney fees brought by or against the government under 28 U.S.C. § 2412.

ED - Employment Litigation Against the Government

This code covers employment discrimination actions brought against the government, regardless of the underlying statute or legal theory. It includes adverse action, back pay and grievance issues brought by government employees. *Affirmative* discrimination actions brought by the government are opened under the civil rights code "CREM" above.

EG - Energy

This code is intended to encompass a broad range of energy related litigation, whether affirmative or defensive in nature, including actions under acts relating to nuclear waste policy, public utilities regulatory policy, uranium mills, power plants, etc.

EN - Environmental

The general category code “EN” should only be used if a more specific, subcategory code listed below does not apply.) The FLU code “ENDS” (Natural Resource Damages, 3% Exempt) is not a LIONS code; however, it is a code to be aware of when cases are closed. This code is used by FLU to properly route money collected in environmental cases. “ENDS” is used by FLU for any recoveries from actions resulting from Section 311 of the Clean Water Act, Section 1006 of the Oil Pollution Act, and Section 107(f) of the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA).

ENCA - Clean Air Act

ENMR - Marine Resources

Includes claims involving coastal zone management, marine protection research and sanctuaries, abandoned shipwrecks, outer continental shelf lands and navigable waters.

ENNP - NEPA (National Environmental Protection Act)

ENRH - Rivers and Harbor Act

ENSF - CERCLA and SARA–Superfund Actions

ENWL - Wildlife

Includes claims involving endangered species, the Lacey Act, and various specific acts and treaties involving marine mammals, whales, seals, eagles, fish, migratory birds, horses and burros and, in general, fish and wildlife conservation and coordination matters.

ENWP - Water Pollution Control Act

FL - Foreign Litigation

This code is intended to encompass all international requests for judicial assistance, including letters rogatory seeking testimony or blood samples.

FO - Freedom of Information Act (FOIA)

This code includes both FOIA and “reverse” FOIA cases or matters.

FR - Fraud

The general category code “FR” should be used for all civil fraud actions, including actions under anti-kickback statutes and the False Claims Act, unless it is (1) a financial institution fraud action, in which case it should be opened using the sub code “FRFI,” (2) a health care fraud action, in which case it should be opened using “FRHC,” or (3) a Defense Procurement Fraud action, in which case the sub code “FRDP” should be used.

FRDP - Defense Procurement Fraud

This sub code should be used in civil actions involving defense contractor procurement fraud regardless of the investigating agency.

FRFI - Financial Institution Fraud

This sub code should be used in any action involving financial institution fraud and/or penalties involving financial institutions, whether affirmative or defensive.

FRHC - Health Care Fraud

The FLU codes “FRMZ” (Medicaid Fraud, 3% Exempt) and “FRTR” (Health Care Fraud money to be deposited to the Hospital trust Fund (Medicare) are not LIONS codes; however, they are codes to be aware of when cases are closed. These codes are used by FLU to properly route money collected in health care fraud cases.

GA - Garnishment

This code is intended to include actions brought to garnish the wages of federal employees, including those for child support payments.

IM - Immigration

This code should be used in all actions relating to detention, deportation or status under the immigration laws, whether the action is brought as an application for writ of habeas corpus, a preliminary injunction, or other proceeding, regardless whether the agency is INS or BOP.

IV - Intervention

This code is utilized in those limited situations where the government must intervene to stay ongoing litigation not involving the government that might impact upon an ongoing criminal proceeding or investigation.

JU - Judges and Court Personnel (Actions Against)

This code is utilized in those situations where the government is called upon to represent a court or court personnel that are not otherwise encompassed by another, more specific code, such as a Bivens action ("TOBI"), or a prisoner code ("PC").

LB - Labor

This code is intended to encompass a wide range of labor litigation, both affirmative and defensive, including actions involving the Fair Labor Standards Act, Black Lung and election litigation. Actions involving veterans' re-employment rights should be opened utilizing the specific subcategory code "LBVR" below.) The FLU code "LBBL" (Black Lung) is no longer a LIONS code; however, it is a code to be aware of when cases are closed. This code is used by FLU to properly route money collected in black lung cases.

LBVR - Veterans Re-employment Rights**LD - Land/Real Property**

This code applies to both affirmative and defensive litigation, whether in state or federal court. The general category code "LD" should be used for actions involving real property, for which another more specific code does not apply. This code should not be used for any action brought under 28 U.S.C. § 2410, as to which COLN is the appropriate code, or for condemnation actions brought by the United States, as to which "LDCN" applies, or for affirmative mortgage foreclosures, as to which "COMC" is the appropriate code to be used.

LDCN - Condemnation

This code is to be used only in those actions in which the United States is instituting condemnation proceedings to take real property for government use.

MI - Miscellaneous Claims Against the Government

This category encompasses those rare actions where no other relevant category applies; for example, unintelligible pro se actions.

NA - Native American Matters

This code encompasses a wide range of cases and matters involving Native Americans and/or tribal matters. It includes claims under the Alaska Statehood; Alaska Native Claims Settlement; Alaska Conservation; National Environmental Policy; the Indian self-determination acts and issues concerning Indian gaming; Indian rights-of-way; accounting; tribal claims; damages; descent and distribution; Section 2410 condemnation; forest mismanagement; government loans to Indians; mineral lands/leases; statute of limitations; possession; quiet title; restricted funds; self-determination; taxation; jurisdiction; Indian water rights; Indian land titles; stolen artifacts; Indian trust funds; land management; and Indian resources.

PC - Post-Conviction/Prisoner Litigation

The general code "PC" is intended to encompass the majority of post-conviction actions and/or prisoner actions other than actions under 28 U.S.C. § 2255, which are opened under the more specific subcategory code "PCST" below. For example, this category code extends to coram nobis actions, actions for expungement of records, parole commission actions, and applications for writ of habeas corpus under 28 U.S.C. § 2241. However, this section should not be used for prisoner challenges to immigration action, for which the code "immigration" ("IM") should be used, nor for actions by prisoners where the main thrust of the action is the recovery of money damages under a tort or Bivens theory, for which the tort codes ("TO") would be most appropriate.

PCST - 28 U.S.C. § 2255 Actions Attacking the Imposition of a Sentence

PCDN – 18 USC 3600 DNA Testing

PO - Postal Service

This category code includes cases and matters, whether affirmative or defensive, involving cease and desist orders, detention of mail, false advertising, pornography through the mails, etc. This code should not be used for actions such as torts or employment discrimination where the main thrust of the action places it under a more relevant category code and it is only incidental that the cognizant agency is the Postal Service.

PV - Privacy Act

This category code is for actions brought under the Privacy Act. Actions sounding in tort under a theory of invasion of privacy are more appropriately opened under a tort code ("TO") below.

SE - Securities

This category code is for actions brought under the securities laws, which are usually handled by the Securities Exchange Commission (SEC).

SS - Social Security/Medicare/Medicaid Claims and Appeals

The general category code "SS" is only to be used when one of the more specific subcategory codes below does not apply. Actions for Medicare/Medicaid payments involving actions under the Medical Care Recovery Act are more appropriately opened under the code "TOMC" below. Health care fraud claims involving Medicare/Medicaid should be opened under the "fraud" codes above.

SSDA - Social Security Disability and Supplemental Security Income Appeals

SSMD - Provider Litigation

This subcategory code involves both defensive and affirmative actions involving claims related to Medicare/Medicaid provider reimbursement. *It does not include health care fraud actions which should be coded "FRHC."*

SU - Subpoena/Summons/Warrants

This section encompasses all cases or matters, whether affirmative or defensive in nature, to enforce or quash summonses or subpoenas, or involving applications for writs of entry or administrative search warrants or other warrants, and proceedings for the return of seized property or evidence not related to asset forfeiture. This category should not be used for asset forfeiture, for which "AF" or "AFDR" should be used.

TO - Tort

Use the general category code "TO" if a more specific subcategory code listed below does not apply. This category extends to the vast majority of actions in which the legal theory involves some tort such as the usual negligence action involving motor vehicle accidents, slip and falls, drownings, and the myriad of other miscellaneous negligence actions brought against the government other than those which have their own specific sub code, e.g., medical malpractice, air crash etc.

TOAC - Air CrashTOBI - Bivens

This sub code extends to all actions where the government is providing representation to persons sued in their individual capacity for money damages.

TOMC - Medical Care Recovery

This sub code extends to those actions brought under the Medical Care Recovery Act, or to other actions in which the United States is entitled to or seeking reimbursement for payments made to a beneficiary who later brings an action for damages against a liable third party.

TOMM - Medical Malpractice**TR - Civil Matters/Cases Arising Out of Terrorist Attacks on the United States**

This code is to be used for any civil matters or cases arising from or related to terrorist attacks on the United States.

TX - Tax

The general code "TX" is intended to encompass the majority of tax related cases or matters, other than actions seeking a tax refund, which are opened under the more specific subcategory code "TXRE" below. For example, this category code extends to actions brought by the government to collect taxes, wrongful levy actions, and other tax litigation, whether affirmative or defensive in nature.

TXRE - Refund to Taxpayer**CHARGE CATEGORY**

| | |
|---|---------------|
| F | Felony |
| M | Misdemeanor |
| P | Petty Offense |

CHARGE TYPE

This table contains U.S., District of Columbia, and Territorial Code Citations.

CIVIL POTENTIAL

| | |
|---|----------------------------|
| A | Asset Forfeiture Potential |
| M | Monetary Loss to U.S. |

COLLECTIONS INDICATOR

| | |
|---|--------------------|
| N | No |
| R | Referred to Agency |
| Y | Yes |

CONTACT PURPOSE (Local)

Codes to be designated by the District

CONTACT TYPE (Local)

Codes to be designated by the District

CONTROL SUBSTANCE TYPE

| | |
|---|--------------|
| A | Amphetamines |
| B | Barbiturates |
| C | Cocaine |
| D | Opium |

| | |
|---|----------------------------------------|
| E | Hashish |
| F | Fentanyl |
| G | Prescription Drugs |
| H | Heroin |
| I | Meth-Lab |
| J | Ketamine |
| K | Crack Cocaine |
| L | LSD |
| M | Marijuana |
| N | Methaqualone |
| O | Other |
| P | PCP |
| Q | Quaaludes |
| R | Precursor |
| S | Steroids |
| T | Methamphetamine |
| U | Hallucinogens (other than PCP and LSD) |
| V | Analog |
| X | Oxycontin |
| Y | Ecstasy |

COUNSEL TYPE (Local)

Codes to be designated by the District

COUNTRY OF CITIZENSHIP

| | |
|----|--------------------|
| AB | Albania |
| AF | Afghanistan |
| AL | Algeria |
| AM | Armenia |
| AR | Argentina |
| AS | Australia |
| AU | Austria |
| BA | Bahama |
| BE | Belgium |
| BL | Belize |
| BO | Bolivia |
| BR | Brazil |
| BS | Bosnia |
| BU | Bulgaria |
| CA | Cambodia |
| CD | Canada |
| CH | Chile |
| CM | Cameroon |
| CN | China |
| CO | Columbia |
| CR | Croatia |
| CS | Costa Rica |
| CU | Cuba |
| CZ | Chekoslovakia |
| DE | Denmark |
| DR | Dominican Republic |
| EG | Egypt |
| EN | England |
| EQ | Ecuador |
| ES | El Salvador |

| | |
|----|---------------|
| ET | Ethopia |
| FJ | Fiji |
| FN | Finland |
| FR | France |
| GB | Great Britain |
| GE | Germany |
| GH | Ghana |
| GL | Guatemala |
| GR | Greece |
| GY | Guyana |
| HG | Hungary |
| HK | Hong Kong |
| HO | Honduras |
| HT | Haiti |
| ID | Ireland |
| IN | India |
| IO | Indonesia |
| IQ | Iraq |
| IR | Iran |
| IS | Israel |
| IT | Italy |
| JA | Japan |
| JM | Jamaica |
| JO | Jordan |
| KO | Korea |
| KW | Kuwait |
| LA | Laos |
| LB | Lebanon |
| LI | Liberia |
| LT | Lithuania |
| MA | Malaysia |
| MO | Morocco |
| MX | Mexico |
| NG | Nigeria |
| NL | Netherlands |
| NO | Norway |
| NZ | New Zealand |
| PA | Paraguay |
| PE | Peru |
| PH | Philippines |
| PK | Pakistan |
| PL | Poland |
| PN | Panama |
| PO | Portugal |
| RO | Romania |
| RS | Russia |
| RW | Rwanda |
| SA | Saudi Arabia |
| SD | Sweden |
| SL | Somalia |
| SM | Samoa |
| SN | Singapore |
| SO | South Africa |
| SP | Spain |
| SV | Soviet Union |
| SW | Switzerland |

| | |
|----|---------------|
| SY | Syria |
| TA | Taiwan |
| TH | Thailand |
| TO | Tonga |
| TR | Trinidad |
| TU | Turkey |
| UK | Ukraine |
| UR | Uruguay |
| US | United States |
| VI | Vietnam |
| VZ | Venezuela |
| WS | Western Samoa |
| YE | Yemen |
| YU | Yugoslavia |

COURT

| | |
|----|-------------------------------------|
| BA | Bankruptcy Appeal Panel |
| BC | Bankruptcy Court |
| CA | Court of Appeals |
| CC | Court of Federal Claims |
| DC | District Court |
| MD | District Court (Miscellaneous) |
| MG | Magistrate Court |
| MM | Magistrate Court (Miscellaneous) |
| NC | Not in Court |
| PD | District Court (Post Disposition) |
| PM | Magistrate Court (Post Disposition) |
| PN | Not in Court (Post Disposition) |
| SC | U.S. Supreme Court |
| ST | State Court |
| TC | Tax Court |
| TR | Tribal Court |

COURT LOCATION (Local)

Codes to be designated by the District

CRIMINAL POTENTIAL

| | |
|---|-----|
| Y | Yes |
| N | No |

CUSTODY LOCATION

These codes were provided, but they will not be maintained by EOUSA (Local).

| | |
|----|---------------------------------------|
| AA | FCI-Bastrop, Texas |
| AB | FCI-Big Spring, Texas |
| AC | FCI-EI Reno, Oklahoma |
| AD | FCI-Fort Worth, Texas |
| AE | FCI-La Tuna-Anthony, New Mexico-Texas |
| AF | FDC-Oakdale, Louisiana |
| AG | FCI-Seagoville, Texas |
| AH | FCI-Texarkana, Texas |
| AI | FPC-EI Paso, Texas |
| AJ | FPC-Byran, Texas |
| AK | FPC-Fort Bliss, Texas |

| | |
|----|------------------------------------------------|
| AL | FCI-Three Rivers, Texas |
| AM | FDC-Eden Detention Center |
| AO | FCI-Three Rivers Texas |
| AP | CSA-Reeves County, Texas |
| AQ | FDC-Hinton, Oklahoma |
| AR | FMC-Carville, Louisiana |
| AS | FCI-Oakdale, Louisiana |
| AT | FMC-Carswell, Texas |
| AU | FMC-Ft. Worth, Texas |
| AV | FCI-Ft. Dix, Texas |
| AW | FTC-Oklahoma City, Oklahoma |
| AX | FCI-Beaumont, Texas |
| BA | FCI-Ashland, Kentucky |
| BB | USP-Atlanta, Georgia |
| BC | FCI-Butner, North Carolina |
| BD | FPC-Eglin AFB, Florida |
| BE | FMC-Lexington, Kentucky |
| BF | FPC-Maxwell AFB, Alabama |
| BG | FCI-Memphis, Tennessee |
| BH | MCC-Miami, Florida |
| BI | FCI-Talladega, Alabama |
| BJ | FCI-Tallahassee, Florida |
| BK | FCI-Marianna, Florida |
| BL | FPC-Pensacola, Florida |
| BM | MCC-Fort Lauderdale, Florida |
| BN | FPC-Homestead, Florida |
| BO | FCI-Jessup, Georgia |
| BP | FPC-Seymour Johnson, North Carolina |
| BQ | FPC-Tyndall AFB, Florida |
| BR | FPC-Millington, Tennessee |
| BS | FDC-Tallahassee, Florida |
| BT | FCI-Manchester, Kentucky |
| BU | MDC-Guaynabo, Puerto Rico |
| BV | FPC-Ashland, Kentucky |
| BW | FDC-Miami, Florida |
| BX | FCI-Greenville, South Carolina |
| BY | FCI-Coleman, Florida |
| BZ | LSCI-Coleman, Florida |
| FA | LSCI-Butner, North Carolina |
| FB | Community Corrections Manager-Cincinnati, Ohio |
| CA | MCC-Chicago, Illinois |
| CB | FPC-Duluth, Minnesota |
| CC | USP-Leavenworth, Kansas |
| CD | USP-Marion, Illinois |
| CE | FCI-Milan, Michigan |
| CF | FCI-Oxford, Wisconsin |
| CG | FMC-Rochester, Minnesota |
| CH | FCI-Sandstone, Minnesota |
| CI | USMCFP-Springfield, Missouri |
| CJ | USP-Terre Haute, Indiana |
| CK | FPC-Yankton, South Dakota |
| CL | FCI-Pekin, Illinois |
| CM | FCI-Greenville, Illinois |
| CN | FCI-Cumberland, Illinois |
| CO | FCI-Wasecaw, Minnesota |
| DA | FPC-Alderson, West Virginia |

| | |
|----|-------------------------------------------------|
| DB | FPC-Allenwood-Montgomery, Pennsylvania |
| DC | FCI-Danbury, Connecticut |
| DD | USP-Lewisburg, Pennsylvania |
| DE | FCI-Loretto, Pennsylvania |
| DF | FCI-Morgantown, West Virginia |
| DG | MCC-New York, New York |
| DH | FCI-Otisville, New York |
| DI | FCI-Petersburg, Virginia |
| DJ | FCI-Ray Brook, New York |
| DK | FCI-McKean Bradford, Pennsylvania |
| DL | FCI-Fairton, New Jersey |
| DM | FCI-Schuylkill, Pennsylvania |
| DN | FCI-Estill, South Carolina |
| DO | MDC-Brooklyn, New York |
| DP | FCI-Allenwood, Pennsylvania |
| DQ | USP-Allenwood, Pennsylvania |
| DR | LSCI-Allenwood, Pennsylvania |
| DS | FCI-Ft. Dix, New Jersey |
| DT | FCI-Cumberland, Maryland |
| DU | FCI-Beckley, West Virginia |
| DV | USP-Watertown, Pennsylvania |
| DW | FCI-White Deer, Pennsylvania |
| DX | FCI-Ft. Devens, Massachusetts |
| DY | FPC-Beckley, West Virginia |
| EA | FPC-Boron, California |
| EB | FCI-Englewood-Littleton, Colorado |
| EC | USP-Lompoc, California |
| ED | FCI-Phoenix, Arizona |
| EE | FCI-Pleasanton-Dublin, California |
| EF | FCI-Safford, Arizona |
| EG | MCC-San Diego, California |
| EH | FCI-Terminal Island, California |
| EI | FCI-Tucson, Arizona |
| EJ | FDC-Florence, Arizona |
| EK | MDC-Los Angeles, California |
| EL | FCI-Lompoc, California |
| EM | FCI-Sheridan, Oregon |
| EN | FPC-George Air Force Base, California |
| EO | FPC-Lowry Air Force Base, Denver, Colorado |
| EP | FPC-Nellis Air Force Base, Nevada |
| EQ | FCI-Florence, Colorado |
| ER | USP-Carson City, Colorado |
| ES | USP-Florence, Colorado |
| ET | FPC-Alderson, Wyoming |
| EU | USPADMAX-Florence, Colorado |
| EV | Mountain Halfway House, Santa Clara, California |

DEFENDANT STATUS

| | |
|----|----------------------------------------------------|
| AF | Serving in Armed Forces |
| AS | Adult Study |
| BO | Bond |
| CU | Custody (in this case prior to detention decision) |
| DH | Death of Defendant |
| DT | Detained |
| FC | Federal Custody or Detention (in another case) |

| | |
|----|---------------------------------------------------|
| FU | Fugitive |
| IN | In Mental Institution |
| JS | Juvenile Study |
| JT | Juvenile Transferred to Adult Status |
| MO | Mental Evaluation |
| NS | Not Served |
| OT | Other |
| PD | Pretrial Diversion |
| RL | Released (on own recognizance) |
| SC | State Custody (prior to serving state sentence) |
| SF | Serving Federal Sentence (in another case) |
| SI | Serving Sentence in the Current Case |
| SR | Serving Sentence on Supervised Rel/Prob Violation |
| SS | Serving State or Federal Sentence in Another Case |
| SU | Summons |
| TP | Treatment Program |
| UF | Unlawful Flight to Avoid Prosecution |
| UN | Status Unknown |

DETENTION REASON (Local)

Codes to be designated by the District

DISPOSITION CODES

Appeal

| | |
|----|-----------------------------------------|
| DA | Dismissed Appellant |
| FA | Favorable to U.S. |
| NF | Not Favorable to U.S. |
| OE | Opened in Error/Office Error |
| SA | Settlement (ADR Utilized) |
| SB | Settlement (Without Utilization of ADR) |

Civil Matter

CW – Closed, Necessary Action Taken

For use when all necessary action on a matter has been completed and a more specific code does not apply. For example, if a matter is settled, use the appropriate settlement code, i.e., “SA” or “SB.”

DE - Declined

This code is to be used if a determination is made to decline pursuing an affirmative referral.

NW - New Filing

This is a disposition code that is largely administrative in nature. It is used by docketing personnel when a matter is closed by the filing of a court action.

OE - Opened in Error/Office Error

PC - Post-Disposition Action Completed

This is a disposition code that is largely administrative in nature. It is used by docketing personnel chiefly in asset forfeiture matters to permit the removal of cases from an attorney’s active case list to permit monitoring of the case pending sale of assets.

SA - Settlement (ADR Utilized)

This closing code is intended to capture all civil matters that are resolved by settlement using alternative dispute resolution (ADR). This is to be contrasted with matters that are settled without the use of ADR (see closing code “SB” below).

SB - Settlement (Without Utilization of ADR)

This closing code is intended to capture all civil matters that are resolved by settlement using alternative dispute resolution (ADR). This is to be contrasted with matters that are settled without the use of ADR (see closing code "SA" above).

TR - Transferred from District

This closing code is to be utilized when a file must be closed because the case has been transferred out of the district.

Civil Cases

Note: Whenever any case is closed as the result of a settlement, court judgment, decision, or order where the outcome is favorable to the government and there is money recovered or to be recovered on behalf of the United States, the case should be immediately referred to FLU. When a referral is made to FLU, a careful review of the Civil Cause of Action codes should be done to ensure that proper Collections Codes are communicated to the FLU staff to ensure proper routing of recoveries. No additional entry of codes is required in LIONS.

BA - Bankruptcy USAO Work Completed

This closing code is intended to encompass a broad range of bankruptcy resolutions, and should be used, for example, when a bankruptcy plan has been confirmed, the bankruptcy case has been dismissed, a chapter 7 discharge has been entered or the Government's priority has been determined, or when a proof of claim has been filed and no further action is contemplated. This code should not be used in an adversary proceeding where one of the more specific closing codes listed below is appropriate; for example, one of the "judgment/order/decision" or "settlement" codes.

CS - Consolidated by Court

For use only when a case is consolidated with other case(s) under one court number. When cases are consolidated but retain their own separate court numbers, it is inappropriate to close out a case on the LIONS system because it has the potential for later severance and/or separate disposition under another closing code.

CW - Closed–Necessary Action Taken

For use when all necessary action in the litigation has been completed without the entry of a court judgment, order, or decision; for example, if a subpoena for a federal agent is resolved without need of a court order quashing the subpoena, or a taxpayer voluntarily complies with an IRS subpoena in a summons prior to a court order. If the case is terminated short of trial by entry of a court judgment, order, or decision, the appropriate closing code to be used is "JU" (see below). If the case is settled, the appropriate codes to use are "SA" or "SB" (see below).

DS - Disclaimer of Interest

To be used where a pleading disclaiming an interest in litigation is filed; for example, in a Section 2410 tax lien case, bankruptcy case, or other case where the Government disclaims having an interest in the litigation.

JJ - Judgment/Order/Decision for U.S. (Jury Trial)

For purposes of codes "JJ," "JX," "JT," or "JY," "trial" implies that the hearing is *evidentiary*; that is, testimonial evidence is taken.

JX - Judgment/Order/Decision for U.S. (Nonjury Trial)

For purposes of codes "JJ," "JX," "JT," or "JY," "trial" implies that the hearing is *evidentiary*; that is, testimonial evidence is taken.

JU - Judgment/Order/Decision for U.S. (No Trial)

This closing code is intentionally very expansive, and is meant to include most cases that are resolved by a court judgment, decision, or order where the outcome is *favorable to the government* (where the

outcome is *favorable to the opposing party*, the analogous, appropriate closing code is "JO"). Case dispositions that would normally fall within this closing code include consent judgments, default judgments, summary judgments and orders granting contested motions to dismiss, and remand orders in social security cases after a decision on the merits. This code does *not* include cases that are voluntarily dismissed (see closing code "VD" below) or cases which are dismissed pursuant to settlement (see closing codes "SA" and "SB" below), such as where the court enters an order dismissing a case on the parties' stipulation or announcement of settlement.

JT - Judgment/Order/Decision for Opposing Party (Jury Trial)

See comments under "JJ" above.

JY - Judgment/Order/Decision for Opposing Party (Nonjury Trial)

See comments under "JJ" above.

JO - Judgment/Order/Decision for Opposing Party (No Trial)

See comments under "JU" above. This code is *not* to be used for voluntary remands in Social Security cases. See "VR."

NW - New Filing/New Court

This is a disposition code that is largely administrative in nature. It is used by docketing personnel when a case is closed by one court and lodged in another; for example, when a case is removed from state court to federal district court, or a case is referred from district court to bankruptcy court, or the district court withdraws the reference from the bankruptcy court.

OE - Opened in Error/Office Error

PC - Post-Disposition Action Completed

This is a disposition code that is largely administrative in nature and can be used to close out any post disposition action. For example, if you close an asset forfeiture case at the time of judgment, but want to monitor the case through the sale of the property, you can reactivate the case with a post disposition court history and then ultimately close it with "PC."

SA - Settlement (ADR Utilized)

This closing code is intended to capture all civil cases that are resolved by settlement *using* alternative dispute resolution (ADR). This is to be contrasted with cases that are settled *without the use* of ADR (see closing code "SB" below).

SB - Settlement (Without Utilization of ADR)

See comments made under "SA" above.

TR - Transferred from District

This closing code is to be utilized when a file must be closed because the case has been transferred out of the district.

VD - Voluntary Dismissal

This closing code is to be utilized when a party obtains dismissal of a case without a court ruling on the merits. It should not be used when a case is voluntarily dismissed pursuant to a settlement (See codes "SA" and "SB" above).

VR - Voluntary Social Security Remand

This code is to be used when a Social Security case is remanded upon motion or consent of the United States (sentence 4 and 6). It is *not* to be used when a court remands after considering the merits in which instance "JO" should be used.

Criminal

| | |
|----|-------------------------------------------------------------------------------------------|
| CW | Closed - Necessary Action Taken (to be used for miscellaneous matters - court code MM/MD) |
| DE | Declination |
| DJ | Dismissed with Prejudice |
| DM | Dismissed without Prejudice |
| GD | Adjudged Juvenile Delinquent |
| GT | Guilty |
| ID | Immediate Declination |
| NB | No True Bill |
| NC | Nolo Contendere |
| ND | Adjudged Not Juvenile Delinquent |
| NG | Not Guilty |
| NW | New Filing |
| OC | Charge Included in Other Case |
| OE | Opened in Error/Office Error |
| RE | Removal (Rule 40) |
| TR | Transfer from District (Rule 20, 21) |

DISPOSITION REASON**Appeal**

| | |
|------|--------------------------------------------------------|
| ADMT | Denied as Moot |
| AFMD | Affirmed |
| AFRD | Affirmed and Remanded |
| AFRP | Reversed in part and Affirmed in part |
| AFRR | Affirmed Reversed and Remanded |
| AFRV | Affirmed Reversed and Vacated |
| AFVR | Affirmed Vacated and Remanded |
| APDM | Appeal Dismissed |
| APDN | Appeal Denied. |
| ARVR | Affirmed Reversed Vacated and Remanded |
| COAD | Certificate of Appealability Denied |
| NODB | Dismissal of Notice of Appeal as Settled |
| NODF | Dismissal of Notice of Appeal for Failure to Prosecute |
| NODL | Dismissal of Notice of Appeal for Lack of Final Order |
| NODM | Dismissal of Notice of Appeal as Moot |
| NOVG | Voluntary Dismissal of Notice of Appeal by Government |
| NOVO | Voluntary Dismissal of Notice of Appeal by Opponent |
| RARM | Reversed in Part, Affirmed in Part, and Remanded |
| RDAP | Remanded |
| RDRR | Reversed and Remanded |
| REVA | Reversed Vacated |
| REVR | Reversed |
| VACA | Vacated |
| VARM | Vacated Remanded |

Criminal Immediate Declination

| | |
|------|----------------------------------------------------------|
| AGRE | Agency Request |
| AHPR | Offenders Age, Health, Prior Record, or Personal Matter |
| CADA | Civil, Administrative, or Other Disciplinary Alternative |
| DEPO | Department Policy |
| GWDA | Declined Per Instructions from DOJ |
| JUVN | Juvenile Suspect |
| JUVP | Jurisdiction or Venue Problems |
| LECI | Lack of Evidence of Criminal Intent |
| LKIR | Lack of Investigative Resources |

LKPR Lack of Prosecutive Resources
 LOAG Local Agency Referral Presented by Federal Agency
 MFIN Minimal Federal Interest or No Deterrent Value
 NFOE No Federal Offense Evident
 NKSU No Known Suspect
 OEOE Opened in Error/Office Error
 OFPO Office Policy (fails to meet prosecutive guidelines)
 PEPO Petite Policy
 PTDR Pretrial Diversion Completed
 REST Restitution/Arrearage Payments Made or Being Made
 SPOA Suspect to be Prosecuted by other Authorities
 SPOC Suspect being Prosecuted on Other Charges
 SSSE Suspect Serving Sentence
 STAL Staleness
 STLM Statute of Limitations
 SUCO Suspect Cooperation
 SUDC Suspect Deceased
 SUDP Suspect Deported
 SUFU Suspect a Fugitive
 WKEV Weak or Insufficient Admissible Evidence
 WTPR Witness Problems

Criminal Miscellaneous Matters (Court MM/MD)

AWCP All Work Completed - to be used for miscellaneous matters.

Criminal Other than Declination

ACGJ By Action of the Grand Jury (No True Bill)
 ACRD Rule 29 (directed verdict or JNOV) (District Court)
 ACRM Rule 29 (directed verdict or JNOV) (Magistrate Court)
 BTRD Bench Trial Verdict (District Court)
 BTRM Bench Trial Verdict (Magistrate Court)
 DEMD By Defense Motion (District Court)
 DEMM By Defense Motion (Magistrate Court)
 DETH Death of Defendant
 DFOC Defendant similarly Charged in Subsequent Instrument
 EXTR Extradition
 FOFS Final Order Forfeiture/Assets Substituted
 GWDD By Government from District Court w/ DOJ Authorization
 GWDM By Government from Magistrate Court w/ DOJ Authorization
 GWOD By Government from District Court no DOJ Authorization
 GWOM By Government from Magistrate Court no DOJ Authorization
 HUND Hung Jury (District Court)
 HUNM Hung Jury (Magistrate Court)
 INBD By Reason of Insanity (Bench Trial)
 INDV By Reason of Insanity (Directed Verdict)
 INJD By Reason of Insanity (Jury Trial)
 JOID Joinder (District Court)
 JOIM Joinder (Magistrate Court)
 JTRD Jury Trial Verdict (District Court)
 JTRM Jury Trial Verdict (Magistrate Court)
 MISD Mistrial (District Court)
 MISM Mistrial (Magistrate Court)
 OEOE Opened in Error/Office Error
 OPLD Operation of Law (District Court)
 OPLM Operation of Law (Magistrate Court)
 PEPO Petite Policy

PFAH Final Order of Forfeiture in Favor of Government
 PLED Plea (District Court)
 PLEM Plea (Magistrate Court)
 PLOD Plea Other Chrge(s) (District Court)
 PLOM Plea Other Chrge(s) (Magistrate Court)
 PNFA Final Order of Forfeiture in Favor of Claimant
 PTDR Pretrial Diversion Completed
 RESD Restitution/Arrearage Payments Made or Being Made (District Court)
 RESM Restitution/Arrearage Payments Made or Being Made (Magistrate Court)
 RTOD Rule 21 (District Court)
 RTOM Rule 21 (Magistrate Court)
 RTWD Rule 20 (District Court)
 RTWM Rule 20 (Magistrate Court)
 RUFO Rule 40
 SSCD Sua Sponte by District Court (courts own initiative)
 SSCM Sua Sponte by Magistrate Court (courts own initiative)
 STAD Deferred to State Prosecution from District Court
 STAM Deferred to State Prosecution from Magistrate Court
 STRD Speedy Trial Act Violation (District Court)
 STRM Speedy Trial Act Violation (Magistrate Court)

New Filing

CITA Citation Filed
 CMPL Complaint Filed
 INDT Indictment Filed
 INFO Information Filed
 SIFD Superseding Information (from District Court)
 SIFM Superseding Information (from Magistrate Court)
 SIND Superseding Indictment (from District Court)
 SINM Superseding Indictment (from Magistrate Court)

DOJ DIVISION

ANTI Antitrust
 CIVL Civil
 CIVR Civil Rights Division
 CRIM Criminal
 INGN Office of the Inspector General
 LAND Environment and Natural Resources
 SOLG Solicitor General
 TAXD Tax
 ZCIF National Central Intake Facility
 ZNTF OCDEF

DOMESTIC TERRORISM INDICATOR

NO None
 PC Potential Confrontations
 TH Threats
 VL Violence

EMPLOYER TYPE

301 General/Acute Care Hospital
 302 Psychiatric Hospital
 303 Rehabilitation Hospital
 304 Federal Hospital
 307 Psychiatric Unit

| | |
|-----|--------------------------------------------------------------|
| 308 | Rehabilitation Unit |
| 310 | Laboratory/CLIA Laboratory |
| 320 | Health Insurance Company/Provider |
| 331 | Health Maintenance Organization |
| 335 | Preferred Provider Organization |
| 336 | Provider Sponsored Organization |
| 338 | Religious, Fraternal Benefit Society Plan |
| 342 | Blood Bank |
| 343 | Durable Medical Equipment Supplier |
| 344 | Eyewear Equipment Supplier |
| 345 | Pharmacy |
| 346 | Pharmaceutical Manufacturer |
| 347 | Biological Products Manufacturer |
| 348 | Organ Procurement Organization |
| 349 | Portable X-Ray Supplier |
| 351 | Fiscal/Billing/Management Agent |
| 352 | Purchasing Service |
| 353 | Nursing/Health Care Staffing Service |
| 361 | Chiropractic Group/Practice |
| 362 | Dental Group/Practice |
| 363 | Optician/Optometric Group/Practice |
| 364 | Podiatric Group/Practice |
| 365 | Medical Group/Practice |
| 366 | Mental Health/Substance Abuse Group/Practice |
| 367 | Physical/Occupational Therapy Group/Practice |
| 370 | Research Center/Facility |
| 381 | Adult Day Care Facility |
| 382 | Hospice/Hospice Care Provider |
| 383 | Intermediate Facility for Mentally Retarded/Substance Abuse |
| 386 | Residential Treatment Facility/Program |
| 388 | Outpatient Rehab Facility/Comprehensive Outpatient Rehab Fac |
| 389 | Nursing Facility/Skilled Nursing Facility |
| 390 | Ambulance Service/Transportation Company |
| 391 | Ambulatory Surgical Center |
| 392 | Ambulatory Clinic/Center |
| 393 | Home Health Agency/Organization |
| 394 | Health Center/Federally Qualified or Community Health Center |
| 395 | Mental Health Center/Community Mental Health Center |
| 396 | Rural Health Clinic |
| 397 | Mammography Service Provider |
| 398 | End Stage Renal Disease Facility |
| 399 | Radiology/Imaging Center |
| 999 | Other Type Not Classified |

EVENT (Local)

Codes to be designated by the District

These are event codes that should be used by all districts:

CERT Certification (used to generate certification reports)

VNOT Victim Notification (used in the victim/witness module of LIONS)

The following events are to be used in connection with the Victim/Notification System:

ARGN Arraignment

BAIL Bail/Detention Hearing

CHPL Change of Plea

CMPH Hearing to Determine Competency of Defendant
IAPP First Appearance/Rule 5
MOHR Pretrial Motions Hearing
MTHR Mental Treatment Hearing
ORAL Oral Argument - Appeal
OTHR Other Hearing
PRLM Preliminary Hearing
PRRH Hearing to Revoke or Modify Probation
PSHR Presentence Hearing
PTHL Post Trial Hearing
REVH Hearing to Revoke or Modify Supervised Release
RSNT Resentencing Hearing
RURH Rule 35 Hearing - Sentence Reduction
SENT Sentencing
SPRH Hearing to Suppress Evidence/Return Property
STHR Status Hearing
JTRI Trial

EVIDENCE DISPOSITION (Local)

Codes to be designated by the District

EVIDENCE LOCATION (Local)

Codes to be designated by the District

EVIDENCE TYPE (Local)

Codes to be designated by the District

EXPERT SIDE

G Government
O Opposing Side

EXPERT TYPE (Local)

Codes to be designated by the District

GENDER

F Female
M Male

GUIDELINES DEPARTURE

A Upward Departure Supported by U.S.
B Upward Departure Opposed by U.S.
C Downward for Substantial Assistance (5K1.1)
D Other Downward Departure Supported by U.S.
E Other Downward Departure Opposed by U.S.

HEALTH CARE BUSINESS TYPE

301 General/Acute Care Hospital
302 Psychiatric Hospital
303 Rehabilitation Hospital
304 Federal Hospital
307 Psychiatric Unit

| | |
|-----|--------------------------------------------------------------|
| 308 | Rehabilitation Unit |
| 310 | Laboratory/CLIA Laboratory |
| 320 | Health Insurance Company/Provider |
| 331 | Health Maintenance Organization |
| 335 | Preferred Provider Organization |
| 336 | Provider Sponsored Organization |
| 338 | Religious, Fraternal Benefit Society Plan |
| 342 | Blood Bank |
| 343 | Durable Medical Equipment Supplier |
| 344 | Eyewear Equipment Supplier |
| 345 | Pharmacy |
| 346 | Pharmaceutical Manufacturer |
| 347 | Biological Products Manufacturer |
| 348 | Organ Procurement Organization |
| 349 | Portable X-Ray Supplier |
| 351 | Fiscal/Billing/Management Agent |
| 352 | Purchasing Service |
| 353 | Nursing/Health Care Staffing Service |
| 361 | Chiropractic Group/Practice |
| 362 | Dental Group/Practice |
| 363 | Optician/Optometric Group/Practice |
| 364 | Podiatric Group/Practice |
| 365 | Medical Group/Practice |
| 366 | Mental Health/Substance Abuse Group/Practice |
| 367 | Physical/Occupational Therapy Group/Practice |
| 370 | Research Center/Facility |
| 381 | Adult Day Care Facility |
| 382 | Hospice/Hospice Care Provider |
| 383 | Intermediate Facility for Mentally Retarded/Substance Abuse |
| 386 | Residential Treatment Facility/Program |
| 388 | Outpatient Rehab Facility/Comprehensive Outpatient Rehab Fac |
| 389 | Nursing Facility/Skilled Nursing Facility |
| 390 | Ambulance Service/Transportation Company |
| 391 | Ambulatory Surgical Center |
| 392 | Ambulatory Clinic/Center |
| 393 | Home Health Agency/Organization |
| 394 | Health Center/Federally Qualified or Community Health Center |
| 395 | Mental Health Center/Community Mental Health Center |
| 396 | Rural Health Clinic |
| 397 | Mammography Service Provider |
| 398 | End Stage Renal Disease Facility |
| 399 | Radiology/Imaging Center |
| 999 | Other Type Not Classified |

IMMIGRATION STATUS (Local)

Codes to be designated by the District

INCARCERATION TYPE

| | |
|-----|--------------------------------|
| CON | Concurrent |
| COS | Consecutive |
| DBS | Defendant Died Before Sentence |
| DET | Death |
| LIF | Life |
| TIM | Time Served |

INITIATOR

G Government Staff
V Victim or Witness

INSTRUMENT TYPE

CC Contempt of Court
CI Citation
CO Complaint
IF Information
IN Indictment
PC Perfected Citation or Complaint
R2 Rule 20
SF Superseding Information
SN Superseding Indictment
YD Post Disposition

JOB POSITION (Local)

BKBR Financial Institution Borrower
BKOF Financial Institution Officer
BKOW Financial Institution Owner
CEO Corporate Executive Officer
CLRC Clerical Worker
EDUC Educator
GVEM Government Employee
HCOF Health Care Provider Officer
LEOF Law Enforcement Officer
MAYR Mayor
MNLB Manual Laborer
OFF Officer
PRES Corporate President
PROF Professional
PUBO Public Official
SHRH Shareholder
SKWR Skilled Worker
SOCW Social Worker
STEM State Employee
UNEM Unemployed
UNKN Unknown

JUDGE (Local)

Codes to be designated by the District

JUDGE TYPE (Local)

Codes to be designated by the District

LITIGATING RESPONSIBILITY

AG Case Handled by Other Federal Agency or Non-DOJ Organization
DJ Case Handled Exclusively by Department Of Justice
RD Case Handled by DOJ (USAO Recused)
RU Case Handled by Designated AUSA (USA Recused)
SA Case Shared by Other Federal Agency of Non-DOJ Organization

SD Case Shared by DOJ and U.S. Attorneys Office
US Case Handled Exclusively by U.S. Attorneys Office

LITIGATION TRACK (Local)

Codes to be designated by the District

MEASURE

B Bales
D Dose Units
G Grams
I # of Tablets/Pills
K Kilos
L # of Marijuana Plants
M Milliliters
O Ounces
P Pounds
T Tons

OCCUPATION

010 Allopathic Physician (MD)
015 Allopathic Physician Intern/Resident
020 Osteopathic Physician (DO)
025 Osteopathic Physician Intern/Resident
030 Dentist
035 Dental Resident
050 Pharmacist
060 Pharmacist Nuclear
070 Pharmacy Assistant
100 Registered (Professional) Nurse
110 Nurse Anesthetist
120 Nurse Midwife
130 Nurse Practitioner
140 Licensed Practical or Vocational Nurse
150 Nurses Aide
160 Home Health Aide (Homemaker)
170 Psychiatric Technician
200 Dietician
210 Nutritionist
250 EMT, Basic
260 EMT, Cardiac/Critical Care
270 EMT, Intermediate
280 EMT, Paramedic
300 Social Worker
350 Podiatrist
370 Psychologist, Clinical
400 Audiologist
402 Art/Recreation Therapist
405 Massage Therapist
410 Occupational Therapist
420 Occupational Therapy Assistant
430 Physical Therapist
440 Physical Therapy Assistant
450 Rehabilitation Therapist
460 Speech/Language Pathologist

| | |
|-----|-----------------------------------------------|
| 500 | Medical Technologist |
| 505 | Cytotechnologist |
| 510 | Nuclear Medicine Technologist |
| 520 | Radiation Therapy Technologist |
| 530 | Radiologic Technologist |
| 600 | Acupuncturist |
| 601 | Athletic Trainer |
| 603 | Chiropractor |
| 606 | Dental Assistant |
| 609 | Dental Hygienist |
| 612 | Denturist |
| 615 | Homeopath |
| 618 | Medical Assistant |
| 621 | Counselor, Mental Health |
| 624 | Midwife, Lay (Non-nurse) |
| 627 | Naturopath |
| 630 | Ocularist |
| 633 | Optician |
| 636 | Optometrist |
| 639 | Orthotics/Prosthetics Fitter |
| 642 | Physician Assistant, Allopathic |
| 645 | Physician Assistant, Osteopathic |
| 647 | Perfusionist |
| 648 | Podiatric Assistant |
| 651 | Professional Counselor |
| 654 | Professional Counselor, Alcohol |
| 657 | Professional Counselor, Family/Marriage |
| 660 | Professional Counselor, Substance Abuse |
| 663 | Respiratory Therapist |
| 666 | Respiratory Therapy Technician |
| 699 | Other Health Care Practitioner Not Classified |
| 752 | Adult Care Facility Administrator |
| 755 | Hospital Administrator |
| 758 | Long-Term Care Administrator |
| 800 | Researcher, Clinical |
| 810 | Insurance Agent |
| 812 | Insurance Broker |
| 820 | Corporate Officer |
| 822 | Business Manager |
| 830 | Business Owner |
| 840 | Salesperson |
| 850 | Accountant |
| 853 | Bookkeeper |
| 899 | Other Occupation Not Classified |

PARTICIPANT TYPE

| | |
|---|------------|
| A | Agency |
| B | Business |
| I | Individual |
| P | Property |

PENALTY PROVISION

This table contains U.S. Code Penalties.

POSITION (Local)

Position Codes "C," "L," and "V" cannot be deleted.

| | |
|---|----------------------------|
| C | Co-Counsel |
| L | Lead Attorney |
| V | Victim Witness Coordinator |

PRIORITY

- N National Priority - Case/Matter qualifies as a National Priority; see priority descriptions associated with specific types of offenses listed under Criminal Program Category Codes.
- D District Priority Only - Case/Matter qualifies as a district priority, as determined by the U.S. Attorney for the relevant federal district, but not as a national priority; use this only when district priorities are different from established national priorities. (Not all districts will have district priorities.)
- B Both a National Priority and a District Priority - Case/matter is both a national priority and a district priority, as determined by the U.S. Attorney. (Not all districts will have district priorities. B is treated in the Central System like a National Priority.)
- X Neither a National Nor a District Priority - Case/matter does not meet specifications for a national or district priority.
- U Undetermined - This code is to be used when the priority is unknown at the time the case/matter is opened.

PROGRAM CATEGORY

Public Corruption

Criminal prosecution public employees for misconduct in, or misuse of, office, including attempts by private citizens to bribe or otherwise corrupt public employees.

- 011 Federal Corruption - procurement. Corruption of any federal employee relating to the procurement of goods and services (may involve violations of 18 U.S.C. §§ 201, 203, 371, 872, 1001, 1962 and other statutes). (All such cases are National Priorities (N)).
- 012 Federal corruption - program. Corruption of any federal employee relating to federal programs, including grants, loans, subsidies, employment and other benefit programs (may involve violations of 18 U.S.C. §§ 201, 286, 287, 371, 641, 648, 1001, 1962, as well as program-specific statutes). (All such cases are National Priorities (N)).
- 013 Federal corruption - law enforcement. Corruption of any employee relating to law enforcement, including investigators, prosecutors, judges, court officials, prison officials (may involve violations of 18 U.S.C. §§ 201, 872, 1001, 1503, 1505, 1510, 1621, 1962 and others). (All such cases are National Priorities (N)).
- 014 Federal corruption - other. Corruption of any federal employee not covered by program categories 011, 012, or 013, including embezzlement by a "low level" federal employee, such as a postal clerk, but only if charged with a violation of 18 U.S.C. §§ 641, 1709, or 1711. (All such cases are National Priorities (N)).
- 015 State corruption. Corruption of any state government employee (may involve violations of 18 U.S.C. §§ 1511, 1951, 1962 and others). (All such cases involving governors, legislators, department or agency heads, court officials, law enforcement officials at policymaking or managerial levels, or their staffs are National Priorities (N)).
- 016 Local corruption. Corruption of any local government employee (may involve the same statutes listed in the state corruption category). (All such cases involving mayors, city council members or equivalents, city managers or equivalents, department or agency heads, court officials, law enforcement officials at policymaking or managerial levels, or their staffs are National Priorities (N)).
- 01Z Other Public Corruption. Use code 01Z ONLY if one of the specific codes does not apply.

Organized Crime

- 020 Organized Crime - Traditional Organizations. Violations of statutes relating to gambling, extortion alcoholic beverages, infiltration of legitimate business by traditional organized criminal elements, and related offenses (may involve violations of 18 U.S.C. §§ 371, 664, 1084, 1951, 1952, 1953, 1955, 1959, 1962 and similar statutes.)
- 021 Organized Crime - Emerging Organizations. Violations of statutes relating to gambling, extortion, alcoholic beverages, infiltration of legitimate business by members of street, ethnic, or biker gangs and related offenses (may involve violations of 18 U.S.C. §§ 371, 664, 1084, 1951, 1952, 1953, 1955, 1959, 1962 and similar statutes.)

White Collar Crime/Fraud

Criminal prosecutions of various nonviolent crimes involving deceit, concealment, subterfuge and other fraudulent activity.

- 031 Federal Procurement Fraud. Fraud against the government relating to the procurement of goods and services, not involving corruption of government employees (may involve violations of 18 U.S.C. §§ 371, 1001, 1341, 1343 and other statutes). (Cases/matters involving \$25,000 or more in aggregate losses are National Priorities (N)).
- 032 Federal Program Fraud. Fraud against the government relating to the administration of government programs, not involving corruption of government employees (may involve violations of 18 U.S.C. 371, 1001, 1341, 1343 and various program-specific statutes.) (Cases/matters involving \$25,000 or more in losses are National Priorities.
- 033 Tax fraud. Fraud against the government involving tax evasion, non-reporting of income, etc. (may involve violations of 26 U.S.C. §§ 7201, 7203, 7206, and related statutes). All such cases authorized for prosecution by the Tax Division, USDOJ, are National Priorities (N)).
- 03H Fraud Against Insurance Providers. Fraud involving insurance, other than Health Care Fraud (03G) or fraud involving multiple employer welfare arrangements (MEWA) (03K), which is directed against an insurance provider by outsiders, including arson for profit. (All such cases involving a loss to the state, company, or policy holders of more than \$100,000, and all cases of arson for profit involving \$250,000 or more in aggregate losses or two or more incidents perpetrated by the same person or persons are National Priority (N).)
- 03J Insider Fraud Against Insurance Providers. Fraud involving insurance, other than Health Care Fraud (03G) or fraud involving multiple employer welfare arrangements (MEWA) (03K), which is directed against an insurance provider by an employee, officer, or member of the board of directors. (All such cases are National Priority (N).)
- 03K MEWA/MET (Multiple Employer Welfare Arrangements and Multiple Employer Trust) Fraud. Fraud involving a Multiple Employer Welfare Arrangement or Multiple Employer Trust. (All such cases involving a loss to a Multiple Employer Trust (MET) or a multiple employer welfare arrangement (MEWA) of more than \$100,000 are National Priority (N).)
- 036 Financial Institution Fraud. Fraud and embezzlement, including through the use of credit cards and credit card information, in which banks, savings and loan associations, credit unions and similar financial institutions are the victims (see 039 for other kinds of credit card fraud) (may involve violations of 18 U.S.C. §§ 371, 656 657, 1005, 1006, 1029, 1341, 1343, and 1344.)
- 037 Bankruptcy fraud. Fraud against creditors, concealment of assets, and other illegal acts related to bankruptcy and bankruptcy proceedings (may involve violations of 18 U.S.C. §§ 152, 153, 1341, 1343, 1962 and related statutes). (All such cases involving \$100,000 or more in aggregate losses are National Priorities (N)).
- 038 Advance fee schemes. Fraud against businesses or individuals involving the payment of a fee in advance for goods, services or other things of value (may involve violations of 18 U.S.C. §§ 1341, 1353, 1962 and related statutes). (All such cases involving \$100,000 or more in aggregate losses or 10 or more victims are National Priorities (N)).
- 039 Other fraud against businesses. Fraud against business entities not described in other program categories including credit card fraud in which a financial institution is not a victim (when a financial institution is the credit card victim, see 036) (may involve violations of 18 U.S.C. §§ 371, 1029, 1341, 1343, 1962 and related statutes). (All such cases involving \$100,000 or more in aggregate losses are National Priorities (N)).

- 03A Consumer fraud. Fraud against consumers in connection with the purchase or sale of goods and services (may involve violations of 18 U.S.C. §§ 1341, 1343, 1962 and related statutes), and violations of federal consumer protection and health and safety laws affecting the general public and individual citizens such as 15 U.S.C. § 2070 (Consumer Product Safety), 21 U.S.C. § 333 (Food and Drug), and 21 U.S.C. § 605 (Adulteration and Misbranding of Meat). (All such cases involving \$100,000 or more in aggregate losses or 25 or more victims are National Priorities (N)).
- 03B Securities fraud. Fraud committed in connection with the purchase and sale of securities (may involve violations of 15 U.S.C. §§ 77a *et seq.*, 78a *et seq.* or 18 U.S.C. §§ 1341, 1343 and 1962 and related statutes). (All such cases involving \$100,000 or more in aggregate losses are National Priorities (N)).
- 03C Commodities fraud. Fraud committed in connection with the purchase and sale of commodities (e.g., gold, silver, wheat, petroleum, beef) or futures contracts, deferred delivery contracts, etc., for such commodities (may involve violations of 15 U.S.C. § 714M or 18 U.S.C. §§ 1341, 1343, 1962 and related statutes). (All such cases involving \$100,000 or more in aggregate losses are National Priorities (N)).
- 03D Other Investment Fraud. Fraud in connection with the purchase and sale of goods, services or other things of value for investment purposes (e.g., land, other property) not described in program categories 03B or 03C. (All such cases involving \$100,000 or more in aggregate losses are National Priorities (N).)
- 03F Computer Crime. Fraud and related activity involving violations of 18 U.S.C. 1030 (computers) or 2701 *et seq.*, (stored communications), computer "bulletin boards" and other schemes in which a computer, or a related data processing item, is the target of the offense, including when charged as violations of 18 U.S.C. 1343 (wire fraud), 2314 (ITSP), or 2319, (copyright infringement), e.g., computer viruses or where the defendant's goal was to obtain information or property from a computer or to attack a telecommunications system or data network. (All such cases are National Priorities.)
- 03G Health Care Fraud. Fraud against Medicare, Medicaid, other government or private health insurers/providers, false billings associated with drug diversion, fraud involving the rendering of inappropriate/unnecessary medical care. If a MET or MEWA is involved, report as Program Category 03K (MEWA/MET). (All such cases involving kickbacks or bribes and other cases involving \$25,000 or more in aggregate losses are National Priorities.)
- 03I Intellectual Property Violations. Criminal activity relating to intellectual property including copyright offenses (17 U.S.C. § 506 and 18 U.S.C. § 2319), trademark violations (18 U.S.C. § 2320), counterfeit labeling and computer documentation (18 U.S.C. § 2318), live musical performance theft (18 U.S.C. § 2319A), trade secret theft (18 U.S.C. §§ 1831, 1832), circumvention of copyright protection services (17 U.S.C. § 1204), cable and satellite TV theft (47 U.S.C. §§ 553 and 605), and violation of other statutes if the activity involves theft of intellectual property rights, such as the mail or wire fraud statutes (18 U.S.C. §§ 1341, 1343), the unauthorized access of computer systems to obtain proprietary information (18 U.S.C. § 1030), the distribution of counterfeit drugs (21 U.S.C. § 331 (I)), the importation (18 U.S.C. § 545) of counterfeit goods, and misbranding of pesticides (7 U.S.C. § 136 (q)(1)(c)). (All such cases involving manufacturers or distributors and distribution in three or more states and countries and \$500,000 or more in aggregate losses are National Priorities(N)).
- 03S Telemarketing Fraud
- 03T Corporate Fraud. Corporate Fraud is defined as cases or matters involving: (1) Falsification of corporate financial information (including, for example, false/fraudulent accounting entries, bogus trades and other transactions designed to artificially inflate revenue, fraudulently overstating assets, earnings and profits or understating/concealing liabilities and losses, and false transactions designed to evade regulatory oversight); (2) Self-dealing by corporate insiders (including, for example, insider trading, kickbacks, misuse of corporate property for personal gain, and individual tax violations related to any such self-dealing); (3) Fraud in connection with an otherwise legitimately-operated mutual or hedge fund (including, for example, late trading, certain market-timing schemes, falsification of net asset values, and other fraudulent or abusive trading practices by, within, or involving a mutual or hedge fund); and (4) Obstruction of justice, perjury, witness tampering, or other obstructive behavior relating to any of the foregoing categories.
- 03Z Other White Collar Crime/Fraud. Use 03Z ONLY if one of the specific codes does not apply.

Antitrust Violations

Criminal violations of federal antitrust law (may involve violations of 15 U.S.C. §§ 1, 2, 13, 14, 18, 20 and related statutes). (All such cases involving 1,000,000 or more in commerce and either pricefixing or collusive activities affecting public work projects or public service contracts are National Priorities (N).)

- 03M Antitrust Violations - Airlines
- 03N Antitrust Violations - Banking
- 03P Antitrust Violations - Defense Procurement
- 03Q Antitrust Violations - Extraterritorial Application Of
- 03R Antitrust Violations - Finance Markets, Other than Banking
- 03E Antitrust Violations - Other
(Use 03E only if specific codes do not apply.)

Narcotics and Dangerous Drugs

- 040 Drug Trafficking. Controlled substance violations involving manufacture, possession with intent to distribute, distribution and importing (may include violations of 21 U.S.C. §§ 841, 843(b), 846, 848 and 859, and the 900 series relating to smuggling. (National Priority (N).)
- 045 Simple Drug Possession. Violations involving personal possession or use under 21 U.S.C. § 844.
- 047 OCDETF. Cases assigned exclusively to the Organized Crime Drug Enforcement Task Force. (National Priority (N).)

Civil Rights Prosecution

- 050 Civil Rights - other. Use 050 only if one of the other specific codes does not apply.
- 05D Civil Rights - Law Enforcement. Violations of 18 U.S.C. §§ 241, 242; Civil Rights Act of 1968, where the subject is a law enforcement official.
- 05E Civil Rights - Slavery/Involuntary Servitude. Violations of 18 U.S.C. §§ 1581 (peonage), 1583 (enticement into slavery) and 1584 (involuntary servitude).
- 05F Civil Rights - Racial Violence, including Hate Crimes.
- 05G Civil Rights - Access to Clinic Entrances (18 U.S.C. §248).
- 05H Civil Rights - Hate Crimes Arising out of Terrorist Attacks on US

Immigration

- 055 Violations of the Immigration and Nationality Act.

Crimes Against Government Property

- 056 Crimes Against Government Property.

Government Regulatory Offenses

- 061 Counterfeiting and Forgery. Violations of statutes relating to the counterfeiting or forgery of U.S. currency, Treasury checks or bonds or other obligations or securities of the United States. (Chapter 25 of Title 18, United States Code; may also involve violations of 18 U.S.C. §§ 371, 1341, 1962 and related statutes). (All such cases are National Priorities (N)).
- 062 Customs Violations - Duty. Violations of customs regulations relating to the payment of duty (may involve violations of 18 U.S.C. §§ 541, 542, 543, 1001 and related statutes). (All such cases involving \$25,000 or more in revenue losses in one transaction or \$50,000 or more in revenue losses in multiple transactions are National Priorities (N)).
- 063 Customs Violations - Currency. Violations of customs regulations relating to the importation or exportation of U.S. currency or monetary instruments (may involve violations of 18 U.S.C. § 1001, 31 U.S.C. §§ 1059, 1101, and related statutes). (All such cases involving \$25,000 or more in currency in one transaction, or \$50,000 or more in currency in multiple transactions are National Priorities (N)).
- 06F Money Laundering/Structuring (Narcotics). Violations of 18 U.S.C. §§ 1956-1957 where the proceeds are from narcotics-related activities.
- 06G Money Laundering/Structuring (Other). Violations of 18 U.S.C. §§ 1956-1957 where the proceeds are from non-narcotics-related activities.

- 064 Energy Pricing and Related Fraud. Criminal violations of statutes and regulations relating to the sale, distribution and pricing of federally regulated energy sources (e.g., petroleum, natural gas, electricity (may involve violations of 18 U.S.C. §§ 371, 1001, 1341 and related statutes)). (All such cases involving \$500,000 or more in costs fraudulently reported or prices illegally charged for energy products are National Priorities (N)).
- 066 Health and Safety Violations - Employees. Criminal violations of federal health and safety regulations affecting the work place and employees (includes violations of 29 U.S.C. § 662 (OSHA) and 30 U.S.C. § 819 (Mine Safety)). (All such cases involving life-endangering violations, i.e., business practices and other acts or products that are likely or may be reasonably foreseen to cause death or serious bodily injury to human beings, are National Priorities (N)).
- 06A Trafficking in Contraband Cigarettes. Interstate smuggling of contraband cigarettes (may involve violations of 18 U.S.C. §§ 1951, 1962, 2314, 2342 and related statutes). All such cases involving \$100,00 or more in aggregate tax revenue losses are National Priorities (N)).
- 06B Wildlife Protection. Violations of criminal statutes and regulations relating to fish, birds and other wildlife, including violations of Endangered Species Act, Lacey Act, Marine Mammal Protection Act, Airborne Hunting Act, Black Bass Act, Migratory Bird Act, Wild Horse and Wild Burros Act, the Magnassan Act, and the Bald and Golden Eagle Act, as well as violations relating to wildlife smuggling.
- 06C Marine Resources. Includes criminal violations under the Coastal Zone Management; Marine Protection Research * Sanctuaries; Abandoned Shipwrecks; and the Outer Continental Shelf Lands Act. Also includes violations involving the Army Corps of Engineers navigable waters.
- 06D Energy Violations. Criminal violations involving Nuclear Waste issues.
- 06E Environmental Crime. Criminal violations of environmental statutes, such as the Resource Conservation and Recovery Act (RCRA); Clean Air Act (CAA); Clean Water Act (CWA); Superfund (ERCLA); Federal Insecticide, Fungicide, and Rodenticide (FIRRA); Harbors; and the Toxic Substance Control Acts (TSCA), as well as issues concerning oil pollution.
- 06Z Other Government Regulatory Offenses. (Use code 06Z ONLY if one of the specific codes does not apply).

Indian Offenses

- 065 Indian Offenses (Non -Violent Crimes)

Internal Security Offense

- 070 Matters relating to the Nation's internal security, including the prosecution of cases involving treason, espionage, sedition, sabotage, and violations of the Neutrality Act, Trading with the Enemy, Munitions Control and Fishery Conservation and Management Acts. Also the Foreign Agents Registration Act of 1938 and Military Selective Service Act.

International Terrorism

- 071 International Terrorism Incidents Which Impact on U.S. Involves acts of an international nature, including threats or conspiracies to engage in such acts, which are violent or otherwise dangerous to human life and which appear motivated by an intent to coerce, intimidate, or retaliate against a government or a civilian population ("terrorist motive"). The conduct is of an international nature if it occurs primarily outside the United States or transcends national boundaries, or involves a foreign terrorist organization.
- Statutory violations which, when accompanied by a terrorist motive, constitute federal crimes of terrorism include, but are not limited to: 18 U.S.C. §§ 32, 37, 81, 175, 175b, 229, 351, 831, 842(m)&(n), 844(f)&(i), 930(c), 956, 1114, 1116, 1203, 1362, 1363, 1366(a), 1751, 1992, 1993, 2155, 2280, 2281, 2332, 2332a, 2332b, 2339, & 2340A; 42 U.S.C. § 2284; or 49 U.S.C. §§ 46504, 46505(b)(3), 46506, & 60123(b). See 18 U.S.C. § 2332b(g)(5). (National Priority (N).)

Domestic Terrorism

- 072 Domestic Terrorism. Involves acts, including threats or conspiracies to engage in such acts, which are violent or otherwise dangerous to human life, which appear motivated by an intent to coerce, intimidate, or retaliate against a government or a civilian population ("terrorist motive"), and which occur primarily within the United States and do not involve a foreign terrorist organization.

Statutory violations which, when accompanied by a terrorist motive, constitute federal crimes of terrorism include, but are not limited to, those listed under Program Category Code 071 - International Terrorism. (National Priority (N).)

Terrorism Related Hoaxes

- 073 Terrorism Related Hoaxes. Involves instances in which an individual or group of individuals convey information, knowing it to be false, concerning conduct which if true would constitute a threatened or actual terrorist act, including any act involving the purported use of a chemical, biological, radiological, or nuclear substance. (National Priority (N).)

Terrorist Financing

- 076 Terrorist Financing. Involves instances in which an individual or group of individuals, subject to the jurisdiction of the United States, knowingly provides material support or resources, directly or indirectly, to a foreign terrorist organization or to support the carrying out of a terrorist act. This includes violations brought under 18 U.S.C. §§ 2339A and 2339B (providing material support to terrorists), 1956 (where the money laundering or transfers involve specified unlawful activity of a terrorist nature), and any other federal criminal violation where the intention is to provide material support to terrorists or to conceal the provision of such support. (National Priority (N).)

Anti-Terrorism

Any matter or case where the underlying purpose or object of the investigation is anti-terrorism related (domestic or international). This program category is meant to capture United States Attorney Office activity intended to prevent or disrupt potential or actual terrorist threats where the offense conduct is not obviously a federal crime of terrorism. To the extent evidence or information exists, in any form, reasonably relating the case to terrorism or the prevention of terrorism (domestic or international), the matter should be considered "anti-terrorism." For example, a case involving offenses such as immigration violations, document fraud, or drug trafficking, where the subject or target is reasonably linked to terrorist activity, should be considered an "anti-terrorism" matter or case. Similarly, a case of identity theft and document fraud where the defendant's motivation is to obtain access to and damage sensitive government facilities should be considered "anti-terrorism." (National Priority (N).)

- 07A Anti-Terrorism/Environmental
- 07B Anti-Terrorism/Identity Theft
- 07C Anti-Terrorism/Immigration
- 07D Anti-Terrorism/OCDETF Drugs
- 07E Anti-Terrorism/Non-OCDETF Drugs
- 07F Anti-Terrorism/Violent Crimes
- 07G Anti-Terrorism/All Others

Offenses Involving the Administration of Justice

- 074 Offenses Involving the Administration of Justice

Interstate Theft

- 075 Theft of property in interstate transportation (18 U.S.C. §§ 659, 2117) or interstate transportation of stolen property (18 U.S.C. §§ 2314, etc.) excluding motor vehicles.

Labor Management Offense

Criminal violations relating to labor management relations, internal operations of labor unions, and similar matters.

- 08A Union Official Corruptions - Pension Benefit Funds. Embezzlement, conversion and other misuse of union pension, welfare, and other benefit funds (may involve violations of 18 U.S.C. §§ 664, 1954, and 1962, 29 U.S.C. §§ 186,501c and related statutes. All such cases involving \$25,000 or more in the aggregate are National Priorities (N)).
- 08B Union Official Corruption - Bribery Kickbacks. Bribery of, or extortion by, union officials or similar corrupt acts (may involve violation of 18 U.S.C. §§ 664,1954, and 1962, 20 U.S.C. §§ 186, 501c and related statutes. All such cases involving \$5,000 or more in the aggregate are National Priorities (N)).

- 08C Labor racketeering - Use of union power for personal benefit, including extortion of businesses, labor/management sweetheart deals and related acts (may involve violations of 18 U.S.C. §§ 664, 1951, 1954, 1962, 29 U.S.C. §§ 186, 501c and related statutes. All such cases are National Priorities (N)).
- 08Z Other Labor/Management Offense - Use code 08Z *ONLY* if a specific code does not apply.

Fugitive Crimes

- 081 Violations involving escape (Chapter 35 of Title 18 USC), concealing and flight (Chapter 49 of Title 18, USC), and failure to appear (e.g., 18 USC 3146), but only if one of these violations is the basis for opening a new case.

Postal Service Crimes

- 082 Violations relating to the Postal Service, including theft of mail (18 U.S.C. § 1691, et. seq.). Does not include mail fraud under 18 U.S.C. § 1341; public corruption under program categories 011-014; or pornography/obscenity under program categories 087 or 089.)

Assimilated Crimes

- 084 Violations of state laws adopted for an area within special federal jurisdiction such as some military posts. (See 18 U.S.C. §§ 7, 13; does not include Indian offenses assimilated under 18 U.S.C. §§ 1152-1153 (065).) Also violations of federal crimes which are the equivalent of state crimes but are enacted for the "special maritime and territorial jurisdiction of the United States" (e.g., 18 U.S.C. § 661).

Election Fraud

- 085 Violations relating to elections and political activity (Chapter 29 of Title 18, United States Code; may also include 18 U.S.C. §§ 371, 911, and 1341-1343).

Motor Vehicle Theft

- 086 May involve violations of 18 U.S.C. §§ 2312, 2313, etc.

Theft of Government Property

- 088 Embezzlement and theft of money, property, collateral and other items of value from the United States (18 U.S.C. § 641, et. seq.). This includes such violations by employees of the United States not classified as public corruption crimes under program categories 011-014 or as white collar crime under program categories 031-03Z.)

Pornography/Obscenity

- 087 Pornography - Child. May involve violations of the Child Protection Act of 1984, 18 U.S.C. §§ 2251-2256, and related charges.
- 089 Obscenity. May involve violations of 18 U.S.C. §§ 1461-1465 (obscenity) or 47 U.S.C. § 223 (obscene or indecent telephone calls).

Other Criminal Prosecutions

- 090 Include in this category everything which does not fall into one of the above categories.

Violent Crime

- 053 Firearms/Triggerlock

A firearms case is one in which a defendant was involved in the illegal use, possession, sale, receipt, transportation, transfer, purchase, or manufacture of a firearm (or firearm accessories or ammunition).

Firearms are defined according to 18 U.S.C. 921(a)(3): "The term 'firearm' means (A) any weapon (including a starter gun) which will or is designed to or may readily be converted to expel a projectile by the action of an explosive; (B) the frame or receiver of any such weapon; (C) any firearm muffler or firearm silencer; or (D) any destructive device."

Please be aware that, under 18 U.S.C. 921(a)(4), A destructive device includes bombs, grenades, and other explosive or incendiary devices.

- 083 Bank Robbery. May involve violations of 18 U.S.C. § 2113.
- 091 Domestic Violence. May involve violations of 18 USC 2261, 18 USC 2262, 18 USC 2261A, 18 USC 922g8, 18 USC 922g9. A domestic violence case is one that charges a violation of §§ 922(g)(8), 922(g)(9), 2261, 2261A and/or 2262. It also includes any other case that the charging AUSA designates as a domestic violence crime based upon the facts of the case. The AUSA is not limited by the statutes charged. A threatening communication indictment, charging 18 U.S.C. § 875, based upon a domestic abusers threats would properly be included in the Domestic Violence Program Category Code. Similarly, a felon in possession cases, charging 922(g)(1), charged because the defendant is a domestic abuser should be included in the newly created Domestic Violence Program Category Code. Any case that is domestic violence related - and that term is to be broadly defined - should be included.
- 092 Violent Crime in Indian Country. This code should be used for all violent crime offenses by or against Indians in Indian Country for which the United States has jurisdiction. You may have Violent Crime in Indian Country cases that include firearms offenses under Sections 922 or 924. Please note that you can code the case as Violent Crime in Indian Country by entering 092 in as the first program category code, and then enter in 053–Firearms as the second or subsequent program category. This will not affect our firearms statistics because we pull firearms cases based purely on the existence of a Section 922 or 924 statute being included in the defendant charge record in LIONS.
- 093 All Other Violent Crimes. This code should be used as the first, or primary, program category code for violent crime offenses where Program Category Codes for more specific types of violent crime (*i.e.*, 053–Firearms, 083–Bank Robbery, 091–Domestic Violence, or 092–Violent Crime in Indian Country) do not apply. Please do not use the code as the first, or primary, program category code for Terrorism or Anti-Terrorism matters or cases, Civil Rights matters or cases, Organized Crime matters or cases, or OCDETF or Non-OCDETF drug matters or cases.

PROPERTY TYPE (Local)

Codes to be designated by the District

PROPERTY VALUE TYPE (Local)

Codes to be designated by the District

QUI TAM INDICATOR

Y Yes
N No

RELATED CASE REASON (Local)

Codes to be designated by the District

RELATED PARTICIPANT REASON (Local)

Codes to be designated by the District

RELIEF LIABILITY

I Individual
J Joint and Several

RELIEF REQUESTED BY

G Government
O Opposing Side
T Other
U Unknown

RELIEF STAGE

| | |
|---|-----------|
| D | Denied |
| E | Estimated |
| G | Granted |
| O | Ordered |
| R | Requested |
| X | Neither |

RELIEF TYPE

| | |
|---|-------------------------|
| B | Both |
| M | Monetary |
| N | Nonmonetary |
| U | Unknown Monetary Amount |

RESERVATION

Codes to be designated by the District that can be used for Native American cases and/or crimes that occur on military installations.

RESTITUTION RECIPIENT

| | |
|---|-------------|
| B | Business |
| G | Government |
| I | Individual |
| O | Both |
| T | Third Party |

RESTITUTION TYPE

| | |
|---|-----------|
| D | Denied |
| O | Ordered |
| R | Requested |

ROLE**Agency**

| | |
|----|----------------------|
| CL | Client |
| IN | Investigative Agency |
| T | District |
| VA | Victim Agency |

Appeal

| | |
|----|-----------|
| A | Amicus |
| AE | Appellee |
| AN | Appellant |

Civil

| | |
|----|------------------------------|
| A | Amicus |
| C | Class |
| CM | Claimant/Petitioner |
| CR | Creditor |
| D | Defendant |
| DB | Bivens Defendant (Rep by US) |
| DC | Cross Claimant Defendant |
| DD | Debtor |

| | |
|----|----------------------------|
| DL | Counter Claimant Defendant |
| DT | Third Party Defendant |
| FB | Filing on behalf of |
| GA | Guardian Ad Litem |
| I | Intervenor |
| OT | Other |
| P | Plaintiff |
| PC | Cross Claimant Plaintiff |
| PL | Counter Claimant Plaintiff |
| PP | Prisoner Plaintiff |
| PT | Third Party Plaintiff |
| R | Relator (in qui tam cases) |
| RO | Probation Officer |
| T | District |
| TO | Terrorist Organization |
| VA | Victim Agency |
| VC | Victim Custodian |
| VD | Deceased Victim |
| VI | Victim |
| VP | Victim Parent/Guardian |
| VS | Victim/Secondary Payee |
| VW | Victim and Witness |
| WT | Witness |

Criminal

| | |
|----|------------------------------------------|
| CM | Claimant/Petitioner |
| D | Defendant |
| DG | Gang Member Defendant |
| DJ | Juvenile Defendant (at time of offense) |
| DP | Public Official Defendant |
| GN | Gang |
| IN | Investigative Agency |
| IW | Immunized Witness |
| MW | Material Witness |
| OA | Other Affiliated (use for business only) |
| OT | Other |
| PR | Property |
| RO | Probation Officer |
| RS | Pre-Sentence Probation Officer |
| SO | Social Worker |
| T | District |
| TO | Terrorist Organization |
| VC | Victim Custodian |
| VD | Deceased Victim |
| VI | Victim |
| VP | Victim Parent/Guardian |
| VW | Victim and Witness |
| WT | Witness |

SECURITY (Local)

Codes to be designated by the District.

SERVICE AGENCY TYPE (Local)

Codes to be designated by the District.

SERVICE LANGUAGE TYPE (Local)

Codes to be designated by the District.

SPECIAL CONDITIONS

| | |
|-----|------------------------------|
| CMC | Community Confinement |
| CMS | Community Service |
| CUR | Curfew |
| DAT | Drug or Alcohol Treatment |
| DEP | Deportation |
| FWC | Fish and Wildlife Conditions |
| HDT | Home Detention |
| INC | Intermittent Confinement |
| MHT | Mental Health Treatment |
| OCR | Occupational Restrictions |

SPECIAL PROJECT

“Major” is defined as the amount of fraud or loss as \$100,000 or more; or the defendant was an officer, director or owner (including shareholder); or the schemes involved multiple borrowers in the same institution; or the case involves other major factors.

| | |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| B | Major Bank Fraud |
| C | Major Credit Union Fraud |
| HD | High Intensity Drug Trafficking Areas) Regions identified as having critical drug trafficking problems which have a harmful impact on other areas of the United States. HIDTAs are a joint effort between local, state, and federal law enforcement agencies. They assess regional drug threats, design strategies to combat the threats, and develop initiatives to implement the strategies. |
| S | Major Saving and Loan Fraud |
| W | Weed and Seed Operation Weed and Seed is a U.S. Department of Justice community-based initiative and is an innovative and comprehensive multi-agency approach to law enforcement, crime prevention, and community revitalization. Operation Weed and Seed is foremost a strategy rather than a grant program which aims to prevent, control, and reduce violent crime, drug abuse, and gang activity in targeted high-crime neighborhoods across the country. |
| N | None |

SPECIAL SERVICES

| | |
|------|---------------------|
| BRAI | Braille Documents |
| DEAF | TTY Services |
| HAND | Handicap Accessible |
| TRAN | Transportation |

STAFF INITIALS (Local)

Codes to be designated by the District.

STAFF TITLE (Local)

Codes to be designated by the District.

STATE

| | |
|----|----------|
| AK | Alaska |
| AL | Alabama |
| AR | Arkansas |

| | |
|----|----------------------|
| AZ | Arizona |
| BC | British Columbia |
| CA | California |
| CD | Canada |
| CO | Colorado |
| CT | Connecticut |
| DC | District of Columbia |
| DE | Delaware |
| FL | Florida |
| GA | Georgia |
| GU | GUAM |
| HI | Hawaii |
| IA | Iowa |
| ID | Idaho |
| IL | Illinois |
| IN | Indiana |
| KS | Kansas |
| KY | Kentucky |
| LA | Louisiana |
| MA | Massachusetts |
| MD | Maryland |
| ME | Maine |
| MI | Michigan |
| MN | Minnesota |
| MO | Missouri |
| MS | Mississippi |
| MT | Montana |
| NC | North Carolina |
| ND | North Dakota |
| NE | Nebraska |
| NH | New Hampshire |
| NJ | New Jersey |
| NM | New Mexico |
| NV | Nevada |
| NY | New York |
| OH | Ohio |
| OK | Oklahoma |
| OR | Oregon |
| PA | Pennsylvania |
| PR | Puerto Rico |
| RI | Rhode Island |
| SC | South Carolina |
| SD | South Dakota |
| TN | Tennessee |
| TX | Texas |
| UT | Utah |
| VA | Virginia |
| VI | Virgin Islands |
| VT | Vermont |
| WA | Washington |
| WI | Wisconsin |
| WV | West Virginia |
| WY | Wyoming |

STORAGE ITEM NUMBER

- 1 Closed civil and criminal cases initiated before 1889
- 2 Closed civil and criminal cases for 1912 and earlier
- 3 Closed civil and criminal cases selected as significant
- 4 Closed civil and criminal cases involving sentences 10 years or less
- 5 Closed civil and criminal cases with sentences of more than 10 years
- 6 Closed civil and criminal cases involving life sentences
- 7 Outstanding fugitive warrant criminal cases selected significant
- 8 Outstanding fugitive warrant criminal cases not selected significant
- 9 Environmental cases filed - handled solely by U.S. Attorneys Office
- 10 Environmental cases filed - not handled solely by U.S. Attorneys Office
- 11 Environmental case rental files and collections documents
- 12 Environmental disbursement files, schedules and related papers
- 13 Grand Jury Records subject to Rule 6(e) disclosure requirements
- 14 Grand Jury Records of proceedings resulting in No True Bill
- 15 Debt Collection Records
- 16 Automated Database Information
- 17 Payment Processing Files
- 18 Investigative Reports not filed as part of any litigation file

TERMINATED REASON

- AP Apprehended
- CO Completed
- DM Charges Dismissed
- FF Forfeited
- MC Met Conditions
- MO Modified
- RL Released
- RV Revoked
- SS Serving Sentence
- SU Surrendered
- TR Transferred
- UN Unknown

TRIBE

- AKAA Algaaciq Native Village
- AKAC Arctic Village Native Village of Atka
- AKAF Village of Afognak
- AKAG Village of Kaltag
- AKAH Hoonah Indian Association
- AKAI Akiak Native Community
- AKAK Native Village of Aleknagik
- AKAL Alatna Village
- AKAM Native Village of Ambler
- AKAN Native Village of Akutan
- AKAP Village of Anaktuvuk Pass
- AKAS Inupiat Community of the Arctic Slope
- AKAT Agdaagux Tribe of King Cove
- AKAV Anvik Village
- AKAY Yupiit of Andreafski
- AKBC Birch Creek Village
- AKBK Native Village of Kobuk
- AKBM Village of Bill Moores Slough

AKBV Beaver Village
AKCA Chilkoot Indian Association (Haines)
AKCB Native Village of Chuatbaluk
AKCC Central Council of the Tlingit and Haida Indian Tribes
AKCE Chinik Eskimo Community (Golovin)
AKCH Chuloonawick Native Village
AKCI Chilkat Indian Village (Kluckwan)
AKCK Native Village of Buckland
AKCL Chignik Lake Village
AKCM King Island Native Community
AKCN Circle Native Community
AKCP Village of Clarks Point
AKCR Craig Community Association
AKCV Chevak Native Village
AKCW Native Village of Chistochina
AKDL Village of Dot Lake
AKDV Nondalton Village
AKEA Native Village of Eagle
AKEE Native Village of Eek
AKEF Native Village of Shishmaref
AKEG Egegik Village
AKEK Native Village of Ekek
AKEM Native Village of Elim
AKEN Eklutna Native Village
AKET Native Village of Tetlin
AKEV Ekwok Village
AKEY Native Village of Eyak (Cordova)
AKFF Village of Salamattof
AKFL Native Village of Marshall
AKFY Native Village of Fort Yukon
AKGA Native Village of Gakona
AKGB Native Village of Goodnews Bay
AKGE Shageluk Native Village
AKGH Native Village of Dillingham
AKGI Traditional Village of Togiak
AKGL Native Village of Kasigluk
AKGN Koliganek Village
AKGT Native Village of Georgetown
AKGU Gulkana Village
AKGV Galena Village
AKHB Native Village of Hooper Bay
AKHC Holy Cross Village
AKHL Healy Lake Village
AKHS Manley Hot Springs Village
AKHU Huslia Village
AKHV Hughes Village
AKHW Northway Village
AKHY Hydaburg Cooperative Association
AKIA Village of Iliamna
AKIB Ivanoff Bay Village
AKIC Chickaloon Native Village
AKIG Igiugig Village
AKIK Kaktovik Village
AKIN Ketchikan Indian Corporation
AKIO Native Village of Akhiok
AKIS Douglas Indian Association

AKIV Telida Village
AKKA Kaguyak Village
AKKB Knik Tribe
AKKC Klawock Cooperative Association
AKKE Organized Village of Kake
AKKG Village of Kalskag
AKKH Kokhanok Village
AKKI Native Village of Kiana
AKKK Native Village of Kluti Kaah
AKKL Native Village of Kwigillingok
AKKN Naknek Native Village
AKKS Chalkyitsik Village
AKKV Nikolai Village
AKKW Native Village of Kwinhagak
AKKY Koyukuk Native Village
AKLA Native Village of Selawik
AKLB Native Village of Larsen Bay
AKLC Levelock Village
AKLD Native Village of Sheldon Point
AKLE Evansville Village
AKLI Native Village of Port Lions
AKLK Village of Lower Kalskag
AKLL Allakaket Village
AKLN Lesnoi Village
AKLV Lime Village
AKMA Village of Atmautluak
AKMB Native Village of Gambell
AKMC Metlakatla Indian Community
AKMG McGrath Native Village
AKMI Native Village of Minto
AKML Mentasta Lake Village
AKMM Emmonak Village
AKMO Native Village of Marys Igloo
AKMU Native Village of Mountain Village
AKMV Manokotak Village
AKNA Native Village of Chitina
AKNB Native Village of Belkofski
AKNC Native Village of Cantwell
AKND Native Village of Diomede
AKNE Nome Eskimo Community
AKNF Native Village of False Pass
AKNG Angoon Community Association
AKNH Native Village of Port Heiden
AKNI Native Village of Nikolski
AKNK Native Village of Chignik
AKNL Native Village of Chignik Lagoon
AKNM Native Village of Paimiut
AKNN Native Village of Napaimute
AKNO Native Village of Noatak
AKNQ Native Village of Nunapitchuk
AKNR Native Village of Brevig Mission
AKNS Nenana Native Association
AKNT Native Village of Venetie Tribal Government
AKNU Native Village of Unalakleet
AKNV Ninilchik Village
AKNW Native Village of Wales

AKNX Native Village of Council
AKNY New Stuyahok Village
AKNZ Native Village of Tazlina
AKOF Native Village of Shaktoolik
AKOG Organized Village of Grayling
AKOH Village of Old Harbor
AKOK Organized Village of Kwethluk
AKON Orutsarmuit Native Village
AKOO Native Village of Nelson Lagoon
AKOT Oscarville Traditional Village
AKOU Native Village of Ouzinkie
AKOV Organized Village of Kasaan
AKPB Pedro Bay Village
AKPC Portage Creek Village
AKPF Pauloff Harbor Village
AKPG Native Village of Port Graham
AKPH Native Village of Point Hope
AKPI Petersburg Indian Association
AKPK Native Village of Napakiak
AKPL Native Village of Point Lay
AKPM Pribilof Island Aleut Communities of St. Paul and St. George Islands
AKPN Native Village of Kipnuk
AKPP Native Village of Pilot Point
AKPS Pilot Station Traditional Village
AKPT Platinum Traditional Village
AKQT Qawalingin Tribe of Unalaska
AKQV Atkasuk Village (Atkasook)
AKQY Qagan Toyagungin Tribe of Sand Point Village
AKRD Village of Red Devil
AKRI Noorvik Native Community
AKRL Native Village of Karluk
AKRM Native Village of Russian Mission (Yukon)
AKRR Native Village of Barrow
AKRU Native Village of Ruby
AKRV Rampart Village
AKRY Native Village of Perryville
AKSA Native Village of Savoonga
AKSB Native Village of Scammon Bay
AKSC Stebbins Community Association
AKSG Saint George
AKSH Native Village of Shungnak
AKSI Sitka Tribe of Alaska
AKSK Native Village of Napaskiak
AKSM Native Village of Saint Michael
AKSN South Naknek Village
AKSO Village of Solomon
AKSP Saint Paul
AKSR Village of Stony River
AKSV Skagway Village
AKTA Native Village of Tatitlek
AKTC Native Village of Tanacros
AKTE Native Village of Teller
AKTK Native Village of Pitkas Point
AKTL Village of Kotlik
AKTM Village of Sleetmute
AKTN Native Village of Tununak

AKTR Seldovia Village Tribe
AKTU Native Village of Tuntutuliak
AKTV Takotna Village
AKTW Twin Hills Village
AKTY Native Village of Tyonek
AKUG Ugashik Village
AKUK Tuluksak Native Community
AKUM Umkumiute Native Village
AKUN Akiachak Native Community
AKUV Nulato Village
AKVA Native Village of Chanega
AKVB Native Village of Kotzebue
AKVC Village of Chefornak
AKVD Native Village of Deering
AKVE Native Village of Kanatak
AKVF Native Village of Tanana
AKVG Native Village of Nightmute
AKVH Native Village of Hamilton
AKVI Native Village of Kivalina
AKVK Native Village of Kongiganak
AKVL Village of Alakanuk
AKVM Native Village of Mekoryuk
AKVN Village of Aniak
AKVO Village of Ohogamiut
AKVQ Native Village of Nuiqsut
AKVR Village of Crooked Creek
AKVS Native Village of Stevens
AKVT Native Village of Toksook Bay
AKVU Native Village of Unga
AKVV Village of Venetie
AKVW Village of Wainwright
AKVX Organized Village of Saxman
AKVY Native Village of Koyuk
AKWA Wrangell Cooperative Association
AKWH Newhalen Village
AKWK Native Village of Nanwalek
AKWM Native Village of White Mountain
AKWV Newtok Village
AKYT Yakutat Tlingit Tribe
AKZE Kenaitze Indian Tribe
ALPB Poarch Band of Creek Indians
ARFM Fort Mojave Indian Tribe
AZAC Ak Chin Indian Community of Papago Indians of the Maricopa
AZCR Colorado River Indian Tribes
AZCT Cocopah Tribe
AZFD Fort McDowell Mohave-Apache Indian Community
AZGR Gila River Pima-Maricopa Indian Community
AZHI Hualapai Indian Tribe
AZHT Hopi Tribe
AZKB Kaibab Band
AZNN Navajo Nation of Arizona
AZPY Pascua Yaqui Tribe
AZQT Quechan Tribe
AZSC San Carlos Apache Tribe
AZSJ San Juan Southern Paiute Tribe
AZSR Salt River Pima-Maricopa Indian Community

AZTA Tonto Apache Tribe
AZTO Tohono Oodham Nation
AZVT Havasupai Tribe
AZWM White Mountain Apache Tribe
AZYA Yavapai-Apache Nation
AZYP Yavapai-Prescott Tribe
CAAB Augustine Band of Cahuilla Mission Indians
CAAC Agua Caliente Band of Cahuilla Indians
CAAI Alturas Indian Rancheria of Pit River Indians
CABC Berry Creek Rancheria of Maidu Indians
CABD Santa Rosa Band of Cahuilla Mission Indians
CABG Barona Group of Capitan Grande Band of Mission Indians
CABK Blue Lake Rancheria
CABL Big Lagoon Rancheria of Smith River Indians
CABO Big Pine Band of Owens Valley Paiute Shoshone Indians
CABP Bridgeport Paiute Indian Colony
CABR Bear River Band of the Rohnerville Rancheria
CABS Big Sandy Rancheria of Mono Indians
CABV Buena Vista Rancheria of Me-Wuk Indian
CACA Cher-Ae Heights Indian Community of the Trinidad Rancheria
CACB Cabazon Band of Cahuilla Mission Indians
CACC Cuyapaipe Community of Diegueno Mission Indian
CACD Campo Band of Diegueno Mission Indians
CACG Capitan Grande Band of Diegueno Mission Indians
CACI Coast Indian Community of Yurok Indians
CACL Cahto Indian Tribe of the Laytonville Rancheria
CACN Cedarville Rancheria of Northern Paiute Indians
CACP Cloverdale Rancheria of Pomo Indians
CACR Colorado River Indian Tribes
CACS Cold Springs Rancheria of Mono Indians
CACT Chemehuevi Indian Tribe
CACU Cahuilla Band of Mission Indians
CACV Coyote Valley Band of Pomo Indians
CACW Cortina Indian Rancheria of Wintun Indians
CADC Dry Creek Rancheria of Pomo Indians
CADE Cachil DeHe Band of Wintun Indians of the Colusa Indian Community
CADV Death Valley Timbi-Sha Shoshone Band
CAEI Elem Indian Colony of Pomo Indians
CAER Enterprise Rancheria of Maidu Indians
CAEV Elk Valley Rancheria
CAFB Fort Bidwell Indian Community of Paiute Indians
CAFI Fort Independence Indian Community of Paiute Indians
CAFM Fort Mojave Indian Tribe
CAGI Grindstone Indian Rancheria of Wintun-Wailaki Indians
CAGM Greenville Rancheria of Maidu Indians
CAGR Guidiville Rancheria
CAHB Hopland Band of Pomo Indians
CAHV Hoopa Valley Tribe
CAIB Ione Band of Miwok Indians
CAID Inaja Band of Diegueno Mission Indians
CAJI Jamul Indian Village
CAJR Jackson Rancheria of Me-Wuk Indians
CAKB Kashia Band of Pomo Indians
CAKT Karuk Tribe
CALC Los Coyotes Band of Cahuilla Mission Indians
CALJ La Jolla Band of Luiseno Mission Indians

CALM Soboba Band of Luiseno Mission Indians
CALP La Posta Band of Diegueno Mission Indians
CALR Lytton Rancheria
CAMB Manchester Band of Pomo Indians
CAMC Morongo Band of Cahuilla Mission Indians
CAMD Manzanita Band of Diegueno Mission Indians
CAMG Mesa Grande Band of Diegueno Mission Indians
CAMP Middletown Rancheria of Pomo Indians
CAMR Mooretown Rancheria of Maidu Indians
CAMT Mechoopda Indian Tribe of Chico Rancheria
CAMU Tuolumne Band of Me-Wuk Indians
CAMW Chicken Ranch Rancheria of Me-Wuk Indians
CAMX Sheep Ranch Rancheria of Me-Wuk Indians
CANR Northfork Rancheria of Mono Indians
CAPB Pala Band of Luiseno Mission Indians
CAPI Pinoleville Rancheria of Pomo Indians
CAPL Pauma Band of Luiseno Mission Indians
CAPM Pechanga Band of Luiseno Mission Indians
CAPN Paskenta Band of Nomlaki Indians
CAPP Big Valley Rancheria of Pomo and Pit River Indians
CAPR Pit River Tribe
CAPS Paiute-Shoshone Indians of the Lone Pine Community
CAPT Paiute-Shoshone Indians of the Bishop Community
CAPV Potter Valley Rancheria of Pomo Indians
CAPY Picayune Rancheria of Chukchansi Indians
CAQT Quechan Tribe
CAQV Quartz Valley Indian Community
CARB Ramona Band or Village of Cahuilla Mission Indians
CARI Round Valley Indian Tribes
CARL Rincon Band of Luiseno Mission Indians
CARP Robinson Rancheria of Pomo Indians
CARR Redding Rancheria
CARV Redwood Valley Rancheria of Pomo Indians
CARW Rumsey Indian Rancheria of Wintun Indians
CASB Sycuan Band of Diegueno Mission Indians
CASC Santa Rosa Indian Community
CASD Santa Ysabel Band of Diegueno Mission Indians
CASI Susanville Indian Rancheria
CASM San Manuel Band of Serrano Mission Indians
CASO Scotts Valley Band of Pomo Indians
CASP San Pasqual Band of Diegueno Mission Indians
CASR Smith River Rancheria
CASS Shingle Springs Band of Miwok Indians
CASV Sherwood Valley Rancheria of Pomo Indians
CASY Santa Ynez Band of Chumash Mission Indians
CATB Table Bluff Rancheria of Wiyot Indians
CATC Torres-Martinez Band of Cahuilla Mission Indians
CATM Table Mountain Rancheria
CATP Twenty-Nine Palms Band of Luiseno Mission Indians
CATR Tule River Indian Tribe
CAUA United Auburn Indian Community
CAUL Upper Lake Band of Pomo Indians
CAUU Utu Utu Gwaitu Paiute Tribe
CAVG Viejas (Baron Long) Group of Capitan Grande Band of Mission Indians
CAWT Washoe Tribe
CAYT Yurok Tribe

| | |
|------|---------------------------------------------------------|
| COSU | Southern Ute Indian Tribe |
| COUM | Ute Mountain Tribe |
| CTMI | Mohegan Indian Tribe |
| CTMP | Mashantucket Pequot Tribe |
| FLMT | Miccosukee Tribe of Indians |
| FLST | Seminole Tribe |
| IASF | Sac and Fox Tribe |
| IDCT | Coeur D Alene Tribe |
| IDKT | Kootenai Tribe |
| IDNP | Nez Perce Tribe |
| IDSB | Shoshone-Bannock Tribes |
| KSIT | Iowa Tribe |
| KSKT | Kickapoo Tribe |
| KSPB | Prairie Band of Potawatomi Indians |
| KSSF | Sac and Fox Nation of Missouri |
| LACR | Coushatta Tribe |
| LACT | Chitimacha Tribe |
| LAJB | Jena Band of Choctaw Indians |
| LATB | Tunica-Biloxi Indian Tribe |
| MAWT | Wampanoag Tribe of Gay Head |
| MEAB | Aroostook Band of Micmac Indians |
| MEHB | Houlton Band of Maliseet Indians |
| MEPR | Penobscot Tribe |
| MEPT | Passamaquoddy Tribe |
| MIBM | Bay Mills Indian Community |
| MIGT | Grand Traverse Band of Ottawa and Chippewa Indians |
| MIHI | Hannahville Indian Community |
| MIHP | Huron Potawatom |
| MIKB | Keweenaw Bay Indian Community |
| MILR | Little River Band of Ottawa Indians |
| MILT | Little Traverse Bay Bands of Odawa Indians |
| MILV | Lac Vieux Desert Band of Lake Superior Chippewa Indians |
| MIPB | Pokagon Band of Potawatomi Indians |
| MISC | Saginaw Chippewa Indian Tribe |
| MISS | Sault Ste. Marie Tribe of Chippewa Indians |
| MNCT | Minnesota Chippewa Tribe |
| MNLS | Lower Sioux Indian Community |
| MNPI | Prairie Island Indian Community |
| MNRL | Red Lake Band of Chippewa Indians |
| MNSM | Shakopee Mdewakanton Sioux Community |
| MNUS | Upper Sioux Indian Community |
| MSBC | Mississippi Band of Choctaw Indians |
| MTAS | Assiniboine and Sioux Tribes |
| MTBT | Blackfeet Tribe |
| MTCI | Chippewa-Cree Indians |
| MTCS | Confederated Salish and Kootenai Tribes |
| MTCT | Crow Tribe |
| MTFB | Fort Belknap Indian Community |
| MTNC | Northern Cheyenne Tribe |
| NCEB | Eastern Band of Cherokee Indians |
| NDDL | Devils Lake Sioux Tribe |
| NDSR | Standing Rock Sioux Tribe |
| NDTA | Three Affiliated Tribes |
| NDTM | Turtle Mountain Band of Chippewa Indians |
| NEIT | Iowa Tribe |
| NEOT | Omaha Tribe |

NEPT Ponca Tribe
NESF Sac and Fox Nation of Missouri
NESS Santee Sioux Tribe
NEWT Winnebago Tribe
NMJA Jicarilla Apache Tribe
NMMA Mescalero Apache Tribe
NMNN Navajo Nation of New Mexico
NMPA Pueblo of Acoma
NMPB Pueblo of San Juan
NMPC Pueblo of Santa Clara
NMPD Pueblo of Santo Domingo
NMPE Pueblo of Isleta
NMPF Pueblo of San Felipe
NMPH Pueblo of Cochiti
NMPI Pueblo of San Ildefonso
NMPJ Pueblo of Jemez
NMPL Pueblo of Laguna
NMPN Pueblo of Nambe
NMPO Pueblo of Sandia
NMPP Pueblo of Pojoaque
NMPQ Pueblo of Tesuque
NMPS Pueblo of Santa Ana
NMPT Pueblo of Taos
NMPU Pueblo of Picuris
NMPZ Pueblo of Zia
NMUM Ute Mountain Tribe
NMZT Zuni Tribe
NVCT Confederated Tribes
NVDS Duckwater Shoshone Tribe
NVES Ely Shoshone Tribe
NVFM Fort McDermitt Paiute and Shoshone Tribes
NVFO Fort Mojave Indian Tribe
NVLP Lovelock Paiute Tribe
NVLV Las Vegas Tribe of Paiute Indians
NVMB Moapa Band of Paiute Indians of the Moapa
NVPL Pyramid Lake Paiute Tribe
NVPS Paiute-Shoshone Tribe
NVRS Reno-Sparks Indian Colony
NVSL Summit Lake Paiute Tribe
NVSP Shoshone-Paiute Tribes
NVTM Te-Moak Tribes
NVWI Winnemucca Indian Colony
NVWR Walker River Paiute Tribe
NVWT Washoe Tribe
NVYP Yerington Paiute Tribe
NVYS Yomba Shoshone Tribe
NYCN Cayuga Nation
NYNN Onondaga Nation
NYON Oneida Nation
NYSN Seneca Nation
NYSR St. Regis Band of Mohawk Indians
NYTB Tonawanda Band of Seneca Indians
NYTN Tuscarora Nation
OKAQ Alabama-Quassarte Tribal Town
OKAS Absentee-Shawnee Tribe of Indians
OKAT Apache Tribe

OKCA Cheyenne-Arapaho Tribes
OKCI Caddo Indian Tribe
OKCK Cherokee Nation
OKCM Comanche Indian Tribe
OKCN Chickasaw Nation
OKCO Choctaw Nation of Oklahoma
OKCP Citizen Potawatomi Nation
OKDI Delaware Tribe of Indians
OKDT Delaware Tribe of Western
OKES Eastern Shawnee Tribe
OKFS Fort Sill Apache Tribe
OKIT Iowa Tribe
OKKC Kialegee Tribal Town
OKKI Kiowa Indian Tribe
OKKN Kaw Nation
OKKT Kickapoo Tribe
OKMN Muscogee Nation
OKMR Miami Tribe
OKMT Modoc Tribe
OKOM Otoe-Missouria Tribe
OKON Osage Nation
OKOT Ottawa Tribe
OKPI Pawnee Indian Tribe
OKPR Peoria Tribe
OKPT Ponca Tribe
OKQT Quapaw Tribe
OKSC Seneca-Cayuga Tribe
OKSF Sac and Fox Nation
OKSM Seminole Nation
OKTH Thlopthlocco Tribal Town
OKTT Tonkawa Tribe of Indians
OKUK United Keetoowah Band of Cherokee Indians
OKWA Wichita and Affiliated Tribes
OKWT Wyandotte Tribe of Oklahoma
ORBP Burns Paiute Tribe
ORCC Cow Creek Band of Umpqua Indians
ORCQ Coquille Tribe
ORCS Confederated Tribes of the Coos, Lower Umpqua and Siuslaw Indians
ORGR Confederated Tribes of Grand Ronde
ORKT Klamath Indian Tribe
ORSI Confederated Tribes of the Siletz Reservation
ORUM Confederated Tribes of the Umatilla Reservation
ORWS Confederated Tribes of the Warm Springs Reservation
RINI Narragansett Indian Tribe
SCCT Catawba Tribe
SDCC Crow Creek Sioux Tribe
SDCR Cheyenne River Sioux Tribe
SDFS Flandreau Santee Sioux Tribe
SDLB Lower Brule Sioux Tribe
SDOS Oglala Sioux Tribe
SDRS Rosebud Sioux Tribe
SDSR Standing Rock Sioux Tribe
SDSW Sisseton-Wahpeton Sioux Tribe
SDYS Yankton Sioux Tribe
TXAC Alabama and Coushatta Tribes
TXKT Kickapoo Traditional Tribe

TXYD Ysleta Del Sur Pueblo
UTCT Confederated Tribes of the Goshute Reservation
UTNB Northwestern Band of Shoshoni Nation
UTNN Navajo Nation of Utah
UTPI Paiute Indian Tribe
UTSV Skull Valley Band of Goshute Indians
UTUI Ute Indian Tribe of the Uintah and Ouray Reservation
UTUM Ute Mountain Tribe of the Ute Mountain Reservation
WACE Confederated Tribes of the Chehalis Reservation
WACV Confederated Tribes of the Colville Reservation
WAHI Hoh Indian Tribe of the Hoh Indian Reservation
WAJK Jamestown Klallam Tribe
WAKL Kalispel Indian Community
WALE Lower Elwha Tribal Community
WALT Lummi Tribe
WAMI Makah Indian Tribe
WAMT Muckleshoot Indian Tribe
WANI Nisqually Indian Tribe
WANO Nooksack Indian Tribe
WAPG Port Gamble Indian Community
WAPT Puyallup Tribe
WAQR Quinault Tribe
WAQT Quileute Tribe
WASB Shoalwater Bay Tribe
WASG Stillaguamish Tribe
WASI Samish Indian Tribe
WASK Skokomish Indian Tribe
WASP Spokane Tribe
WASQ Squaxin Island Tribe
WASS Sauk-Suiattle Indian Tribe
WASU Suquamish Indian Tribe
WASW Swinomish Indians
WATT Tulalip Tribes
WAUS Upper Skagit Indian Tribe
WAYN Confederated Tribes and Bands of the Yakama Indian Nation
WIBR Bad River Band of the Lake Superior Tribe Chippewa Indians
WIFC Forest County Potawatomi Community
WIHC Ho-Chunk Nation
WILC La Courte Oreilles Band of Lake Superior Chippewa Indians
WILD Lac du Flambeau Band of Lake Superior Chippewa Indians
WIMI Menominee Indian Tribe
WIOT Oneida Tribe
WIRC Red Cliff Band of Lake Superior Chippewa Indians
WISC Sokaogon Chippewa Community of the Mole Lake Band
WISI St. Croix Chippewa Indians
WISM Stockbridge-Munsee Community of Mohican Indians
WYAT Arapahoe Tribe of the Wind River Reservation
WYWR Shoshone Tribe of the Wind River Reservation

UNIT (Local)

Codes to be designated by the District.

US ROLE**Appeal**

A Amicus
AE Appeal filed against
AN U.S. has filed the Appeal

Civil

B Creditor
C Counsel cost plus Contractor
D U.S. is Defendant
G Counsel for Government Employee
H Third Party Defendant
I Counsel for Native American
L Third Party Plaintiff
O Other
P U.S. is Plaintiff
T Intervenor
V Counsel for Veteran

Criminal

O Other
P U.S. is Plaintiff

VICTIM TYPE

P Primary
S Secondary

VICTIM/WITNESS

N No
W Witness
Y Yes

APPENDIX B – DATA DICTIONARY

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|---------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|----------|------|----------------|----------|
| # Times Victimized (VICTIM/WITNESS INFO) | The Number of times a person has been a victim. | N | 10 | Number | Criminal |
| Accession Number (STORAGE) | Facilitates access to a particular box of files sent to the FRC. | N | 20 | Char | Both |
| Acquitted (DNA) | Indicates acquitted in the new trial. | N | 1 | Char | Civil |
| Action (EVENT) | Identifies certain critical event actions taken in the civil/criminal matter/case. | N | 2 | Char | Both |
| Actual Loss (PARTICIPANT) | The actual loss caused by a defendant and/or sustained by a victim in criminal matters and cases. | N | 12,2 | Number | Criminal |
| Address ¹ | Contains up to three lines of a home or office address. This field applies to Agencies, Opposing Attorneys, Experts, and Service Agencies. | N | 30 | Chars per line | Both |
| ADR Mode (CASE) | Designates the type of alternative dispute resolution, e.g., mediation in civil actions. | N | 2 | Char | Civil |
| Agency (AGENCY) | The Agency that referred, or is a participant in, the criminal/civil, matter/case | Y | 4 | Char | Both |
| Agency Number (AGENCY) | The file Number assigned by the referring or client agency. | N | 20 | Char | Both |

¹Some fields, such as address, city, zip, comments, etc., do not have a block name listed. These fields appear repeatedly throughout LIONS.

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|--------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|-------------|-------------|-----------------|
| Amount (RELIEF - Civil) (RESTITUTION - Criminal) | The amount of relief estimated, requested, or granted in a civil matter or case or the amount of restitution requested or ordered in a criminal case. | Y in Civil if Relief Type is Monetary or Both Monetary and Nonmonetary. Y in Criminal if stated in the J&C | 14,2 | Number | Both |
| Appeal Role (APPEAL) (COURT HISTORY) | Describes a defendant's position in an appeal, e.g., appellant. | Y | 2 | Char | Both |
| Appeal Type (APPEAL) | Identifies the type of appeal, e.g., from final judgment. | Y | 1 | Char | Both |
| Appeals Filed (APPEAL) | Shows the Number of appeals that have been filed in a case that has been archived. | N | 10 | Number | Both |
| Arrest Date (PARTICIPANT) | The date of a defendant's arrest. | N | 11 | Date | Criminal |
| Bond Amount (DEFENDANT STATUS) | The amount of a bond set by the court. | Y if Bond is set | 12,2 | Number | Criminal |
| Bond Type (DEFENDANT STATUS) | Identifies the type of bond, e.g., cash bond. | Y if Bond is set | 2 | Char | Criminal |
| Bond Provider (DEFENDANT STATUS) | The name of the bondsman or bonding company. | N | 25 | Char | Criminal |
| Box Number (FOLDERS) | A Number assigned to a box in a group of boxes with the same accession Number sent to the Federal Records Center. | Y | 9 | Char | Both |
| Brady Offense (TRIGGERLOCK) | Indicates if Brady is the underlying offense. | Y if case contains a Brady offense | 1 | Char | Criminal |
| Branch (REGION) (CASE) | Identifies the particular geographic location of the U.S. Attorney's office handling a matter or case. | Y | 3 | Char | Both |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|--------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------|-------------------------------|-------------|-------------|-----------------|
| Business Type (PARTICIPANT) | Identifies the type of business, e.g., small business | N | 2 | Char | Both |
| Caption (CASE) | Contains the name of the case, e.g., US v. Jones, J. Also referred to as Name. This field will appear at the top of every screen. | Y | 50 | Char | Both |
| Category (INSTRUMENT CHARGE) | Identifies the level of the charge, i.e., misdemeanor, felony, petty offense. | Y for any charging instrument | 1 | Char | Criminal |
| CATS Asset ID (CLOSE CASE) (MISCELLANEOUS NUMBER) (PARTICIPANT) | Assigned by the Consolidated Asset Tracking System for property. | N | 15 | Char | Both |
| Cause of Action (CASE) | Identifies the type of civil action, e.g., Tort. | Y | 4 | Char | Civil |
| Charge (INSTRUMENT CHARGE) | The statute associated with a specific count in a criminal charging instrument. | Y for any charging instrument | 25 | Char | Criminal |
| Charge Dismissed (DNA) | Indicates whether charge dismissed in the new trial. | N | 1 | Char | Civil |
| Chief Last Name (AGENCY OFFICE) | Last name of the head of a particular agency office. Can be used in document generation. | N | 30 | Char | Both |
| Chief First Name (AGENCY OFFICE) | First name of the head of a particular agency office. Can be used in document generation. | N | 30 | Char | Both |
| Chief Title (AGENCY OFFICE) | The title of the head of a particular agency office. Can be used in document generation. | N | 30 | Char | Both |
| City | The name of a city. This field is used for Agencies, Experts, Opposing Counsels, and Service Agencies. | N | 20 | Char | Both |
| Close Date (CLOSE CASE) | A date entered by the system that shows the case as "Completed." | Y-System generated | 11 | Date | Both |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|-----------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|-------------|-------------|-----------------|
| Code Stat | Indicates whether a record is active (A) or inactive (I). Default to A. This field resides on Reference Code tables. | Y | 1 | Char | Both |
| Collect Ind (CLOSE CASE) | Indicates whether a case has been sent to the collection unit. | Y | 1 | Y or N | Both |
| Comments | Users can enter narrative information about the matter or case, service agency, court history, contact log, evidence or experts in a case, sentence, participant, controlled substance, and event. Each note is approximately 32 lines of text. | N | 2000 | Char | Both |
| Cons Appeal (APPEAL) | Identifies the related appellate court Number in a consolidated appeal. | N | 25 | Char | Both |
| Contact Last Name (PARTICIPANT) | Last name of a business contact. | N | 30 | Char | Both |
| Contact Purpose (CONTACT LOG) | Describes the nature of the contact between a USAO employee and the victim, witness, or service agency. | N | 2 | Char | Both |
| Contact First Name (PARTICIPANT) | First name of a business contact. | N | 30 | Char | Both |
| Contact Type (CONTACT LOG) | Identifies the method of contact between a USAO employee and the victim, witness, or service agency, e.g., phone call, letter, etc. | N | 2 | Char | Both |
| Contact Date (CONTACT LOG) | The date of a contact between a USAO employee and a victim, witness, or service agency. | N | 11 | Date | Both |
| Controlled Substance Type (CONTROLLED SUBSTANCE) | Identifies the type of drug involved in the matter/case. | N | 1 | Char | Criminal |
| Conviction as a 3 Strikes Defendant (SENTENCE) | Indicates if a 3 Strikes defendant is convicted. | Y if 3 Strikes defendant is convicted | 1 | Char | Criminal |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|-----------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|-------------|-------------|-----------------|
| Count (COUNT) | Identifies the specific count from the charging instrument. You can enter counts one at a time or in a range, e.g., 1-10. | Y for all charges | 3 | Number | Criminal |
| Country (PARTICIPANT) | Identifies the country of origin of an individual involved in the civil/criminal matter/case. | N | 2 | Char | Both |
| Court (COURT HISTORY) | Identifies the level of court, if any, e.g., District Court, or designates a file as Not in Court. | Y | 2 | Char | Both |
| Court Number (COURT HISTORY) | The Number assigned by a court. | Y if Court is other than NC | 25 | Char | Both |
| Cr History (PARTICIPANT) | Indicates whether a defendant has a prior criminal history. | N | 1 | Y or N | Criminal |
| Create Date | The date when the record was inserted. Default to database SYSDATE value. | N | 11 | Date | Both |
| Create User | Identifies the user account that inserted the record. Default to database USER value. | N | 30 | Char | Both |
| Cross Appeal (APPEAL) | Identifies the related appellate court Number in a cross appeal. | N | 25 | Char | Both |
| Custody Location (DEFENDANT STATUS) | Identifies the federal or local facility where a defendant is being held in custody, detained, or serving his/her sentence of incarceration. | N | 2 | Char | Criminal |
| CV Potential (CASE) | Denotes whether a criminal matter/case has civil potential, e.g., forfeiture, ACE. | N | 1 | Char | Criminal |
| Date Returned (REQUEST) | The date a file is returned to the Federal Records Center. | N | 11 | Date | Both |
| Date Notice of Three Strikes Filed (TRIGGERLOCK) | The date a notice is filed in court in a case involving a 3 Strikes defendant. | Y if notice is filed on a 3 Strikes defendant | 11 | Date | Criminal |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|------------------------------------------------------|------------------------------------------------------------------------------------------|---------------------------------------------------|-------------|-------------|-----------------|
| Date Notice of Three Strikes Withdrawn (TRIGGERLOCK) | The date a notice is withdrawn from the court in a case involving a 3 Strikes defendant. | Y if notice is withdrawn on a 3 Strikes defendant | 11 | Date | Criminal |
| Date Sent (STORAGE) | The date a box of files was sent to the Federal Records Center. | N | 11 | Date | Both |
| Date Scheduled (EVENT) | The date an event is scheduled to take place. | N | 11 | Date | Both |
| Date Request (REQUEST) | The date a file is requested from the Federal Records Center. | N | 11 | Date | Both |
| Date Received (REQUEST) | The date a file is received from the Federal Records Center. | N | 11 | Date | Both |
| DC Exhibit Number (EVIDENCE) | Assigned to an exhibit for trial. | N | 25 | Char | Both |
| DCMNS Number (CLOSE CASE) (MISCELLANEOUS NUMBER) | A Number assigned by the Departmental Case Management Numbering System. | Y for cases | 11 | Char | Both |
| Decision (JUDGE - Appeal) | Indicates the decision of each judge in an appeal. | N | 2 | Char | Both |
| Def (PARTICIPANT) | Identifies the order in which defendants were named in a charging instrument. | N | 10 | Number | Both |
| Destruction Date (CLOSE CASE) (STORAGE) | The date a file in the Federal Records Center may be destroyed. | Y if case is NOT permanent | 11 | Date | Both |
| Detention Reason (DEFENDANT STATUS) | Describes the reason a particular defendant is being detained, e.g., waiting trial. | N | 4 | Char | Criminal |
| Disabled (VICTIM/WITNESS INFO) | Indicates that victims/witnesses have a disability. | N | 1 | Char | Both |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|-------------|-------------|-----------------|
| Disposition | Describes the disposition of a defendant, party, or Court History in a matter/case, e.g., guilty, settlement for U.S. In some records, such as Court History this field may appear as a READ ONLY field. | Y for closing | 2 | Char | Both |
| Disposition Date | The date of an action that causes a record to be closed. In some records, such as Court History this field may appear as a READ ONLY field. | Y for closing | 11 | Date | Both |
| Disposition Reason | Describes the reason for the disposition of a criminal defendant. In some records, such as Court History this field may appear as a READ ONLY field. | Y for closing | 4 | Char | Criminal |
| District (DISTRICT) | Identifies the district code for the district | Y | 3 | Char | Both |
| Description (DISTRICT) | Describes the district code | N | 50 | Char | Both |
| DOB (PARTICIPANT) | The date of a participant's birth. | N | 11 | Date | Both |
| Doc# | The number of a document to be generated | N | 3 | Char | Both |
| Docket Date (APPEAL) | The date an appeal is filed in the Court of Appeals. | Y if there is no NOAP date | 11 | Date | Both |
| Document Staff Initials (EVENT) | Refers to the staff member for which a document will be generated. | N | 10 | Char | Both |
| Document Code (CONTACT LOG) | Describes the documents to be generated. | N | 3 | Char | Both |
| Document Date (EVENT) | The date that a document will be generated through document generation. | N | 11 | Date | Both |
| Doing Business As (PARTICIPANT) | Refers to another name for a business. | N | 60 | Char | Both |
| DOJ Number (CASE) | The number assigned to a matter/case by a division within the Department of Justice. | Y if DOJ Division is present | 25 | Char | Both |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|-----------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|-------------|-------------|-----------------|
| DOJ Division (CASE) | Refers to the division within the Department of Justice that is involved with the matter/case. DOJ Division must be completed if the Litigating Responsibility is DJ (Department of Justice), SD (Shared with DOJ), or RD (Case Handled by DOJ-USAO recused). | Y if Lit Resp = DJ, RD or SD | 4 | Char | Both |
| EIN (PARTICIPANT) | IRS Employer Identification Number. To be used when the participant is a business. | N | 20 | Char | Both |
| Elderly (VICTIM/WITNESS INFO) | Describes whether or not a victim is elderly. | N | 1 | Char | Criminal |
| Eligibility (SERVICE AGENCY) | Describes the eligibility requirement for using a particular Service Agency. | N | 70 | Char | Both |
| Email (AGENT) | Email address of an agent. | N | 100 | Char | Both |
| End Date (DEFENDANT STATUS) | The date the particular status of a defendant ends, e.g., apprehended. | N | 11 | Date | Criminal |
| End Date (ASSIGNMENT) (COURT JUDGE) (OPPOSING COUNSEL) | The date involvement in a matter/case ends for a staff member, opposing counsel, or judge. Also the date a status for a defendant ends, e.g., apprehended. | N | 11 | Date | Both |
| Estimated Loss (PARTICIPANT) | The amount of the estimated loss caused by a defendant, and/or sustained by a victim. | N | 12,2 | Number | Criminal |
| Event (EVENT) | Describes a particular event. | N | 4 | Char | Both |
| Event Date (EVENT) | The date an event occurred. | Y if event is present | 11 | Date | Both |
| Evidence Type (EVIDENCE) | Describes the type of evidence, e.g., credit records. | N | 2 | Char | Both |
| Evidence Location (EVIDENCE) | Identifies the location of evidence in a U.S. Attorney's office. | N | 4 | Char | Both |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|---------------------------------------------------|--------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------|-------------|-------------|-----------------|
| Evidence Disposition Date (EVIDENCE) | The date evidence is destroyed or returned to a third party. | N | 11 | Date | Both |
| Evidence Disposition (EVIDENCE) | Describes the disposition of evidence, e.g., destroyed. | N | 1 | Char | Both |
| Expert Side (EXPERT) | Indicates whether the expert is assisting the government or the opposition. | N | 1 | Char | Both |
| Expert Type (EXPERT) | Describes the expert, e.g., doctor. | N | 3 | Char | Both |
| Family Wants Prosecution (VICTIM/WITNESS INFO) | Indicates whether the family of a victim favors prosecution of the defendant. | N | 1 | Y or N | Criminal |
| Fax | Fax number of an agent, attorney, expert, or service agency. | N | 15 | Char | Both |
| FBI Number (PARTICIPANT) | Number assigned by the FBI to a defendant. | N | 15 | Char | Criminal |
| Filing Date (INSTRUMENT) | The date an instrument, e.g., complaint, indictment, etc., is filed in court. | Y if Instrument has been entered. | 11 | Date | Criminal |
| Filing Date (COURT HISTORY) | The date a file goes into any court. | Y in Criminal if Court Type is other than NC or PN. Y in Civil if Court Type is other than NC or PN and there is no Service Date. | 11 | Date | Both |
| Fine (SENTENCE) | The amount of a fine imposed by the court. | N | 12,2 | Number | Criminal |
| Firm | The name of an opposing counsel's law firm. | N | 50 | Char | Both |
| First Name | The first name of an individual in a given record, e.g., participant, agent, alias, etc. | Y for individuals in civil/criminal matters/cases | 30 | Char | Both |
| Folder Description (FOLDER) | Description of the contents of a particular folder that will be shipped to the Federal Records Center. | N | 25 | Char | Both |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|------------------------------------|-----------------------------------------------------------------------------------------------------------------------|-----------------|-------------|------------------|-----------------|
| Found Guilty (DNA) | Indicates found guilty in the new trial. | N | 1 | Char | Civil |
| FRC# (FOLDER) | Number assigned by the district to track files prior to shipment to the Federal Records Center. | N | | | |
| Gender (PARTICIPANT) | Designates the sex of an individual. | N | 1 | Char | Both |
| GJ Exhibit Number (EVIDENCE) | The number assigned to an exhibit for use in the grand jury. | N | 25 | Char | Both |
| Glb Code | Identifies the global code value applicable to all districts. This field resides only on Local Reference Code tables. | N | 1-5 | Char | Both |
| Grand Jury Number (CASE) | The number of the grand jury panel. | N | 15 | Char | Criminal |
| Guidelines Departure (SENTENCE) | Indicates the manner in which the court departed upward or downward from the sentencing guidelines. | N | 1 | Char | Criminal |
| Guilty Plea Entered (DNA) | Indicates a guilty plea in the new trial. | N | 1 | Char | Civil |
| Home Fax | The fax number of the participant. | N | 15 | Char | Both |
| Home Phone | The phone number of the participant. | N | 15 | Char | Both |
| Home State | The state where the participant resides. | N | 2 | Char | Both |
| Home Zip Code | The zip code where the participant resides. | N | 10 | Char | Both |
| Home Address | Allows for three lines of a participant's address. | N | 30 | Char per line | Both |
| Home County | The county where the participant resides. | N | 20 | Char | Both |
| Home City | The name of the city where a participant resides. | N | 20 | Char | Both |
| Hours (SERVICE AGENCY) | The business hours of a service agency. | N | 30 | Char | Both |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|-------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------|-------------|-------------|-----------------|
| If No, Reason Why: | Note as to why a 3 Strikes defendant did not get life. | Y if 3 Strikes defendant did not get life | 78 | Char | Criminal |
| Immigration Status (PARTICIPANT) | Describes the immigration status of an individual, e.g., legal permanent resident. | N | 1 | Char | Both |
| Incarceration Years (SENTENCE) | Number of years imposed in the J&C. | N | 10 | Number | Criminal |
| Incarceration Type (SENTENCE) | Describes the type of incarceration imposed by the court, e.g., concurrent, consecutive, etc. | N | 3 | Char | Criminal |
| Incarceration Months (SENTENCE) | Number of months imposed in the J&C. | N | 10 | Number | Criminal |
| Incarceration Days (SENTENCE) | Number of days imposed in the J&C. | N | 10 | Number | Criminal |
| Initials (ASSIGNMENT) (JUDGE) | Specifies the staff member that a file is assigned to, or is involved in an event. | Y for Lead Attorney | 10 | Char | Both |
| Initiator (CONTACT LOG) | Indicates whether the government or the victim/witness is making contact. | N | 2 | Char | Both |
| Item Number (STORAGE) | These fields work with the Destruction Date to identify the date files at the Federal Records Center can be destroyed. Refer to U.S. Attorneys' Manual, Chapter 4, Exhibit D for detailed description of storage item Numbers. | N | 2 | Char | Both |
| Judge Initials (JUDGE) | The code for a judge involved in a case or in a particular event. | N | 4 | Char | Both |
| Juv (PARTICIPANT) | Indicates whether an individual was a juvenile at the time of the offense. | N | 1 | Char | Criminal |
| Language (SERVICE AGENCY) | Describes the language spoken by a service agency. | Y | 3 | Char | Both |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|-------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|-------------|-------------|-----------------|
| Last Name | Depending on what record this field appears in, it can vary from 30 to 60 characters. It should contain the last name of the individual in a given record; e.g., defendant, agent, alias, etc. | Y for individuals in civil/criminal matters/cases | 30/60 | Char | Both |
| Lead AUSA (ASSIGNMENT) | Enter the code for the lead attorney in the civil/criminal matter/case. | Y | 10 | Char | Both |
| Lead Charge (CASE) | Enter the most important statute under which the criminal matter or case is being investigated or prosecuted. | Y | 25 | Char | Criminal |
| Liability (RESTITUTION) | Describes the type of liability, e.g., individual, joint, etc., when restitution is ordered by the court. | Y | 1 | Char | Criminal |
| Liability (RELIEF) | Describes the type of liability in a civil matter or case as individual or joint and several. | Y | 1 | Char | Civil |
| Life Sentence Imposed as a Result of 3 Strikes Notice | Indicates if a sentence of life was imposed as a result of a 3 Strikes notice. | Y if sentenced imposed as a result of 3 Strikes notice | 1 | Char | Crim |
| Litigating Responsibility (CASE) | Describes who has responsibility for litigating the case, e.g., U.S. Attorney's office, Shared with DOJ, etc. | Y | 2 | Char | Both |
| Litigation Track (CASE) | Designates a particular group of cases for tracking. | N | 1 | Char | Both |
| Location Number (STORAGE) | The location number assigned to a particular accession number by the Federal Records Center. | N | 30 | Char | Both |
| Location (COURT HISTORY) | Identifies the location of a court, e.g., magistrate court, district court, etc. | Y if Court is other than NC | 2 | Char | Both |
| Location Scheduled (EVENT) | The location of a scheduled event. | N | 20 | Char | Both |
| Mandate Filed (APPEAL) | The date the mandate is filed in the Court of Appeals. | N | 11 | Date | Both |
| Marshal Number (PARTICIPANT) | The number assigned by the U.S. Marshals. | N | 9 | Char | Criminal |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|-------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|-------------|-------------|-----------------|
| Measure Seized (CONTROLLED SUBSTANCE) | Designates the unit of measure used in quantifying a drug, e.g., pounds, kilos, etc. | N | 1 | Char | Criminal |
| Name | A 50-character field for the name of a case (case caption), e.g., US v. Jones, J. or a 75-character field for the name of a Service Agency. | N | 50/75 | Char | Both |
| New Trial Order (DNA) | Indicates whether a new trial was ordered. | N | 1 | Char | Civil |
| NOAP Date (APPEAL) | The date a Notice of Appeal is filed. | Y in an appeal if there is no Docket Date | 11 | Date | Both |
| Nonmonetary (RELIEF) | Describes the civil nonmonetary relief in a civil case. | Y if Relief Type is Nonmonetary | 30 | Char | Civil |
| Notice for Three Strikes Filed (TRIGGERLOCK) | Indicates that a 3 Strikes notice has been filed with the court. | Y if 3 Strikes notice is filed with the court | 1 | Char | Criminal |
| Notification Requested (VICTIM/WITNESS INFO) | Indicates whether a victim/witness has requested to be notified of case events | N | 1 | Char | Both |
| Notification Received (VICTIM/WITNESS INFO) | Indicates whether a victim/witness has received notice of case events | N | 1 | Char | Both |
| Number of Folders (FOLDER) | Indicates the quantity of folders in a box sent to the Federal Records Center. | N | 10 | Number | Both |
| Offense To (CASE) | The ending date of an offense in a criminal action. | N | 11 | Date | Criminal |
| Offense From (CASE) | The beginning date of an offense in a criminal action. | N | 11 | Date | Criminal |
| Office Fax | Contains the fax number of a participant's office. | N | 15 | Char | Both |
| Office Phone | Contains the telephone number of a participant's office. | N | 15 | Char | Both |
| Office State | Contains the state of a participant's office. | N | 2 | Char | Both |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|-------------------------------------------------|-----------------------------------------------------------------------------------------------------------|-----------------------------|-------------|---------------|-----------------|
| Office Zip Code | Contains the zip code of a participant's office. | N | 10 | Char | Both |
| Office City | Contains the city of a participant's office. | N | 20 | Char | Both |
| Office County | Contains the county of a participant's office. | N | 20 | Char | Both |
| Office Address | Contains up to three lines of a participant's office address. | N | 30 | Char per line | Both |
| Office | Describes the specific office of an agency. | N | 60 | Char | Both |
| Opposing Counsel Type (OPPOSING COUNSEL) | Identifies the type of opposing counsel, e.g., retained, appointed, etc. | N | 2 | Char | Both |
| Opposing Counsel Initials (OPPOSING COUNSEL) | Identifies the opposing counsel in the case. | N | 10 | Char | Both |
| Other Description (CONTROLLED SUBSTANCE) | Describes a type of drug not included in the valid code list for drugs. | Y if Drug Code is O (Other) | 30 | Char | Criminal |
| Participant Type (PARTICIPANT) | Identifies the participant as an individual, business, property, or agency. | Y | 1 | Char | Both |
| PDID (PARTICIPANT) | Contains the local police identification number. | N | 8 | Char | Both |
| Penalty Provision (INSTRUMENT CHARGE) | Contains the penalty statute for an offense. | N | 25 | Char | Criminal |
| Perm (CLOSE CASE) | Describes whether a file should be retained in the FRC permanently | Y | 1 | Char | Both |
| Phone | Contains the telephone number of one of the following: Opposing Attorneys, Experts, and Service Agencies. | N | 15 | Char | Both |
| Phone (AGENT) | Contains the telephone number of Agents | N | 20 | Char | Both |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|----------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|-----------------|-------------|-------------|-----------------|
| Physical Location (CLOSE CASE) (MISCELLANEOUS NUMBER) | Describes the location of an inactive case file stored in the U.S. Attorney's office prior to shipment to the Federal Records Center. | N | 20 | Char | Both |
| Position (ASSIGNMENT) (PARTICIPANT) | Identifies the position a staff member plays in a matter or case, e.g., L-Lead Attorney, P-Paralegal, etc. | Y | 1 | Char | Both |
| Priority (CASE) | Describes whether the criminal matter/case has special priority, e.g., national and/or district priority. | Y for criminal | 1 | Char | Criminal |
| Probation Years (SENTENCE) | The number of years of probation imposed in the J&C. | N | 10 | Number | Criminal |
| Probation Days (SENTENCE) | The number of days of probation imposed in the J&C. | N | 10 | Number | Criminal |
| Probation Months (SENTENCE) | The number of months of probation imposed in the J&C. | N | 10 | Number | Criminal |
| Proceeding AFT Granted (DNA) | Relief Indicates whether further proceedings occurred after relief was granted. | Y | 1 | Char | Civil |
| Program Category (CASE) | Identifies the type of criminal action, e.g., white collar crime, domestic terrorism. | Y | 3 | Char | Criminal |
| Property Value Type (PARTICIPANT) | Describes the basis for the value, e.g., appraised, sale value, etc. | N | 2 | Char | Both |
| Property Value (PARTICIPANT) | Indicates the value of a parcel of property. | N | 12,2 | Number | Both |
| Property Type (PARTICIPANT) | Identifies the type of property, e.g., automobile, boat, etc. | N | 4 | Char | Both |
| Property Date (PARTICIPANT) | The date the value of property was established. | N | 11 | Date | Both |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|----------------------------------------------|---------------------------------------------------------------------------------------------------------|-------------------------------------------|-------------|-------------|-----------------|
| Quantity Seized (CONTROLLED SUBSTANCE) | The quantity of the drug seized. | N | 12,2 | Number | Criminal |
| Reason (RELATED PARTICIPANT) | Describes why two participants in the same case are related to each other, e.g., property and claimant. | Y if Related Participant has been entered | 2 | Char | Both |
| Reason (RELATED CASE) | Describes why two cases are related to each other, e.g., same issue. | Y if Related Case has been entered | 2 | Char | Both |
| Received Date (CASE) | The date a file was received in the U.S. Attorney's office. | Y | 11 | Date | Both |
| Received Threats (VICTIM/WITNESS INFO) | Indicates whether a victim has received threats from a defendant. | N | 1 | Y or N | Criminal |
| Recipient (RESTITUTION) | Describes who will receive restitution in a criminal case, e.g., business, government, individual. | Y if Restitution Type has been entered | 1 | Char | Criminal |
| Relief Type (RELIEF) | Identifies the type of relief being sought, e.g., monetary, nonmonetary, both. | Y in civil | 1 | Char | Civil |
| Requested By (RELIEF) | Identifies who is seeking relief in a civil action, i.e., government or opposing party. | Y | 1 | Char | Civil |
| Relief Granted (DNA) | Indicates whether the District Court granted relief on the basis of DNA test results. | N | 1 | Char | Civil |
| Resentencing Cap Case (DNA) | Indicates resentencing in a capital case. | N | 1 | Char | Civil |
| Reservation (CASE) (PARTICIPANT) | Identifies a Native American or federal reservation. | N | 4 | Char | Both |
| Restitution Amt (SENTENCE) | Total amount of restitution by defendant. | N | 14,2 | Number | Criminal |
| Restitution Type (RESTITUTION) | Identifies whether the restitution has been granted, ordered, etc. | N | 1 | Char | Criminal |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|----------------------------------------------------|--------------------------------------------------------------------------------------------------------|------------------------------------|-------------|-------------|-----------------|
| Restricted (CASE) | Used to limit access of cases/matters to a specific user group | N | 1 | Char | Both |
| Role (PARTICIPANT) (AGENCY) | Identifies the role of a participant in a civil/criminal matter/case, e.g., defendant, plaintiff, etc. | Y | 2 | Char | Both |
| Salutation (AGENT) (PARTICIPANT) | Used in conjunction with document generation. Field contains Mr., Ms., Mrs., etc. | N | 8 | Char | Both |
| Security (CASE) | Describes the security status of a matter or case. | N | 1 | Char | Both |
| Sent Appeal (APPEAL) | Indicates whether a defendant is appealing his/her sentence. | N | 1 | Y or N | Both |
| Sentence Date (SENTENCE) | The date a sentence was imposed. | Y if disposition is Guilty or Nolo | 11 | Date | Criminal |
| Service Fee (SERVICE AGENCY) | Indicates whether or not a service agency charges a fee for their services. | N | 1 | Char | Both |
| Service Agency (SERVICE AGENCY REFERRAL) | Identifies the service agency to which a victim was referred. | N | 4 | Char | Both |
| Service Date (COURT HISTORY) | The date the government was served in a civil action. | Y if there is no Filing Date | 11 | Date | Civil |
| Service Type (SERVICE AGENCY REFERRAL) | Identifies the type of services provided by a service agency, e.g., counseling. | N | 4 | Char | Both |
| Service Locale (SERVICE AGENCY) | Describes the location where services for victims will be obtained. | N | 50 | Char | Both |
| Services Requested (SERVICE AGENCY REFERRAL) | Indicates that a victim/witness has requested services. | N | 1 | Char | Both |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|-------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|-------------|-------------|------------------|
| Special Project (CASE) | Identifies a special project, e.g., Weed and Seed, Triggerlock, etc. | Y for criminal N for civil | 2 | Char | Both |
| Special Assessment (SENTENCE) | The amount of the special assessment listed in the J&C. | N | 12,2 | Number | Criminal |
| SSN (PARTICIPANT) | The Social Security Number of an expert witness or participant. | N | 11 | Char | Both |
| Staff Title (EVENT) | Identifies the office title of a staff member. | N | 3 | Char | Both |
| Stage (RELIEF) | Describes whether the amount of relief in a civil action is being requested, estimated, granted, etc. | Y | 1 | Char | Civil |
| Start Date (DEFENDANT STATUS) | The date a particular status begins for a defendant, e.g., detained, released on conditions, bond, etc. | N | 11 | Date | Both |
| Start Date (ASSIGNMENT) (JUDGE) (OPPOSING COUNSEL) | The date a staff member, judge, or opposing counsel becomes involved in a civil/criminal matter/case. The Start Date will default to today's date, but can be changed. | Y for Lead Attorney | 11 | Date | Both |
| State Compensation Received (VICTIM/WITNESS INFO) | Indicates whether a victim has received compensation from a state prior to ordered restitution | N | 12,2 | Number | Both |
| State | Represents the state in a particular record. | N | 2 | Char | Both |
| Status Type (DEFENDANT STATUS) | Describes a defendant's status, e.g., fugitive, in custody, on bond, etc. | N | 2 | Char | Criminal |
| Status (CASE) | Indicates whether the case is A (Active) or C (Completed). | Y-System generated | 1 | Char | System generated |
| Storage ID (STORAGE) | A sequence number assigned to each grouping of records going to the Federal Record Center. | Y-System generated | 10 | Number | Both |
| Storage Number (STORAGE) | Identifies the FRC Number assigned to a particular case file stored in a U.S. Attorney's office prior to being shipped to the Federal Records Center. | N | 20 | Char | Both |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|-----------------------------------------|----------------------------------------------------------------------------------------------------------------------|------------------------|-------------|-------------|-----------------|
| Storage Date (EVIDENCE) | The date evidence was stored within the office. | N | 11 | Date | Both |
| Supervised Release Months (SENTENCE) | Identifies the number of months of supervised release stated in the J&C. | N | 10 | Number | Criminal |
| Supervised Release Years (SENTENCE) | Identifies the number of years of supervised release stated in the J&C. | N | 10 | Number | Criminal |
| Supervised Release Days (SENTENCE) | Identifies the number of days of supervised release stated in the J&C. | N | 10 | Number | Criminal |
| Terminated Reason (DEFENDANT STATUS) | Describes the manner in which a defendant's status record is closed, e.g., apprehended, revoked, etc. | N | 2 | Char | Criminal |
| Testing Ordered (DNA) | Indicates whether DNA testing was ordered. | N | 1 | Char | Civil |
| Time Scheduled (EVENT) | The time an event is scheduled to take place. | N | 9 | Char | Both |
| Title (AGENT) (PARTICIPANT) | A 30 or 60-character free-form field for the title of the individual in a given record, e.g., agent, defendant, etc. | N | 30-60 | Char | Both |
| Total Number of Boxes (STORAGE) | Represents how many boxes were sent to the Federal Records Center for an accession. | Y | 10 | Number | Both |
| Total Tracts (PARTICIPANT) | Indicates the total number of tracts of land in a civil case. | N | 10 | Number | Civil |
| Trial Days (COURT HISTORY) | Represents the number of days of a trial. | N | 12,2 | Number | Both |
| Tribe (PARTICIPANT) (CASE) | Identifies a particular Native American tribe. | N | 4 | Char | Both |
| Type (INSTRUMENT) | Describes the instrument filed in court, e.g., complaint, indictment, etc. | Y if Court is MG or DC | 2 | Char | Criminal |

| FIELD NAME (BLOCK NAME) | DESCRIPTION | REQUIRED | SIZE | TYPE | CIV/CRIM |
|-----------------------------------------------|-------------------------------------------------------------------------------------------------------------------|------------------------------------|-------------|-------------|-----------------|
| Type (CASE) | Further identifies the type of case, e.g., Bankruptcy, Tort, Drug, etc. | N | 4 | Char | Both |
| Unit (CASE) | Identifies the organization unit of the U.S. Attorney's office to which a civil/criminal matter/case is assigned. | N | 3 | Char | Both |
| Update Date | The date when the record was updated | N | 11 | Date | Both |
| Update User | Identifies the user account that updated the record. | N | 30 | Char | Both |
| User Id (PRIV USERS) | Identifies the user account that is exempted from the Virtual Private Database's policy | Y | 30 | Char | Both |
| US Role (CASE) | Identifies the government's role in a matter or case, e.g., plaintiff, defendant, etc. | Y | 2 | Char | Both |
| USAOID | A number assigned by the system to each civil/criminal matter, case, and immediate declination. | Y-System generated | 10 | Char | Both |
| Victim Identifier (VICTIM/WITNESS INFO) | Further identifies a victim. | N | 25 | Char | Both |
| Victim Type (VICTIM/WITNESS INFO) | Indicates whether a victim is primary or secondary. | N | 1 | Char | Criminal |
| Victim/Witness (CASE) | Indicates whether or not there are victims or witnesses in a case. | N | 1 | Char | Criminal |
| Violent Crime Victim (VICTIM/WITNESS INFO) | Indicates whether a person is the victim of violent crime. | N | 1 | Char | Both |
| Weight (CASE) | Identifies the weight of a matter or case. | N | 2 | Char | Both |
| Withdrawal Reason (TRIGGERLOCK) | The reason a 3 Strikes notice has been withdrawn. | Y if 3 Strikes notice is withdrawn | 78 | Char | Criminal |
| Zip Code | A field which contains the zip code of an Agency, Opposing Attorney, Expert, or Service Agency. | N | 10 | Char | Both |

APPENDIX C – DOCUMENT GENERATION LETTERS

| | |
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VICTIM WITNESS LETTERS BY EVENT

Victim Witness Letter (302)

DOCUMENT NAME: Event - Victim Witness Letter

DOCUMENT NUMBER:

Event: 302

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_CASE.name |
| 11 | GS_CASE.id |
| 12 | GS_INST_TYPE.description |
| 13 | GS_INSTRUMENT.filing_date |
| 14 | GS_JUDGE.first_name, last_name |
| 15 | GS_STAFF.first_name, last_name |
| 16 | GS_DEFEND_STAT.bond_amount |
| | |
| | |
| | |

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: <FIELD 10>
Case Number: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

Your name was referred to our office by a federal investigator as being a victim or witness of a federal crime. This is to advise you that an <FIELD 12> against the above-named defendant was filed on <FIELD 13>. The case has been assigned to United States District Judge <FIELD 14>, and Assistant United States Attorney <FIELD 15> will prosecute the case.

The defendant has been arrested and is being held, with bail in the amount of \$<FIELD 16>, pending trial.

Currently plea negotiations are ongoing in an attempt to resolve this case without a trial. If you have any additional information you would like to share with the prosecutor at this time, please contact the prosecutor at (XXX) XXX-XXXX.

Victims of federal crimes are entitled to certain rights, including the right:

- To be notified of significant case-related court proceedings.
- To confer with the Government attorney.
- To complete a victim impact statement upon conviction of a defendant, or provide information to a presentence probation officer, describing the impact of the crime and to request restitution. This information may be used by the Judge in considering the most appropriate sentence for the defendant.
- To speak in court at sentencing on the impact of the crime, if you are the victim of a violent crime.
- To be notified of the sentence, imprisonment, and release-related information, if there is a conviction.
- To apply to the State Crime Victims Fund, if you are a victim of a violent crime, for such out-of-pocket expenses as medical bills, lost wages, funeral expenses, and counseling related to the impact of the crime, not covered by other programs. (The fund does not cover property loss, which may be covered by restitution, or filing a civil action.)

Our Victim/Witness Assistance Unit has been established to help you exercise your rights and assist in your recovery from any trauma or problems this crime may have caused. As the Victim/Witness Coordinator, I am available to assist you by providing information, available resources, and support for your role as a victim or witness of a federal crime.

If you wish to be notified of significant court proceedings in the above-entitled case, please complete the enclosed "Request for Notice" form and return it to me in the enclosed, pre-addressed envelope within 10 days. Please be aware that only the notification service is optional. If you are a subpoenaed witness, you will be required to attend any court hearings for which you receive a subpoena. If your appearance is required, you will be compensated for your time and travel expenses according to government regulations.

Please be sure to keep our office informed of any address and phone number changes and where you may be contacted both during the day and evening.

If you have any questions or concerns, please do not hesitate to contact me or the prosecutor. I can be reached at (619) 557-5527.

Very truly yours,

[NAME]
United States Attorney

[NAME]
Victim/Witness Coordinator

Enclosure: Request for Notice

TO: [NAME]
Victim/Witness Coordinator

REQUEST FOR NOTICE

Re: <FIELD 10>
Court Docket No. <FIELD 11>

Please notify me of any significant court proceedings in the above-entitled case.

NAME: (Print) _____

HOME ADDRESS: _____

BUSINESS ADDRESS: _____

TELEPHONE: (Business) _____ (Home) _____

DATE: _____ SIGNATURE: _____

Note: If notification is desired, this form should be signed
and returned within 10 days in the enclosed envelope.

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Dear <FIELD 1> <FIELD 3>:

I am the Victim Services Coordinator at the United States Attorney's Office. A federal investigator, <FIELD 10>, recently referred your name to me as a recent victim of a crime, on <FIELD 11>.

There are several services available to help you. The Victim Compensation Program is a State program that can pay for lost wages and out-of-pocket medical or counseling expenses incurred as a result of the crime. The program is funded by fines and penalties paid by people convicted of federal and state crimes, so there is no cost to you.

In addition, I can assist in helping you to stay informed on the status of the investigation against any suspects in the case.

Finally, I am available for moral support at any time, to help in resolving the emotional impact of being a crime victim. This can be a difficult time for a victim and their family.

If I can assist you in any way, please call me at (XXX) XXX-XXXX.

Very truly yours,

[NAME]
United States Attorney

[NAME]
Victim/Witness Coordinator

<FIELD 1> <FIELD 2> <FIELD 3>
 <FIELD 4>
 <FIELD 5?>
 <FIELD 6?>
 <FIELD 7> <FIELD 8> <FIELD 9>

Re: <FIELD 10>
 Case Number: <FIELD 11>

IMPORTANT NOTICE!!!

Due to the large number of victims and witnesses involved in this case, we request that you please return this checklist if you would like to be notified of significant case events, such as trial dates/results, entry of guilty plea, providing a victim impact statement upon conviction, or sentencing dates and results. If you would like to receive notification of these significant case events, please return the completed checklist to:

NAME
 VICTIM/WITNESS COORDINATOR
 UNITED STATES ATTORNEY'S OFFICE
 ADDRESS LINE 1
 ADDRESS LINE 2
 CITY, STATE ZIP CODE

Further notifications on this case will not be mailed unless this notification request is returned to our office.

If the victim or witness is a corporation or other business entity, please include a contact person's name, as well as the corporate name.

PLEASE INDICATE THE FOLLOWING:

VICTIM _____ WITNESS _____ BUSINESS NAME: _____

PRINTED NAME (Contact Person): _____

ADDRESS: _____

PHONE NO. (Days) _____ PHONE NO. (Eves.) _____

OTHER INFORMATION YOU WOULD LIKE OUR OFFICE TO KNOW:

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Dear <FIELD 1> <FIELD 3>:

The United States Attorney's Office is investigating the matter in which you or a member of your family were victimized by a juvenile offender.

Federal law curtails the type of information we may disclose regarding juvenile proceedings. Therefore, we will not be able to keep you informed about the progress of this matter in the same manner that we do when an adult is prosecuted. However, at your request, we can inform you of the final disposition (*e.g., the adjudication and sentence*) after the conclusion of any proceeding against this juvenile. Therefore, if you wish to be notified of any such final disposition, you must request that notification. I am enclosing a notification form for your convenient return.

Although our office is somewhat limited when disclosing information to you concerning a juvenile proceeding, you are not limited in submitting information to us. You have the right to submit to us any information about how this crime affected you and your family, and to provide your views about appropriate disposition of this matter. If you wish to do this, please send your comments to me at the above address and I will see that they reach the appropriate parties.

Feel free to call, collect if out of the local dialing area, if we can be of further assistance to you. We can be reached (*days of the week*), between (*a.m. - p.m.*).

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: <FIELD 10>
Case Number: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

Unfortunately, our records indicate that you were recently a victim or a witness in a bank robbery which took place on <FIELD 12>. Your help and cooperation are needed by the United State's Attorney's Office in order to successfully prosecute this case.

As a victim of a federal crime you are entitled to certain rights. The Victim-Witness Assistance Unit has been established to help you help exercise those rights and aid in your recovery from any trauma this event may have caused. The enclosed brochure will explain more about the services available to you through this office. You have the right to:

Be informed about important case related court proceedings.

Confer with a government attorney.

Be informed about sentencing, imprisonment and release of an offender in cases which result in conviction.

Your participation in the **notification** part of this program is voluntary. If your participation in our efforts to prosecute this offender becomes necessary, however, your appearance will be mandatory.

Stated at the top of this letter you will find: "Re: <FIELD 10>." Please be advised this is standard in our correspondence and identifies individual cases for us. The name which appears there is the individual accused of the crime in this case. When you contact us, please use the name stated there to identify the case about which you are inquiring.

Please call, collect if out of the local dialing area, when you receive this letter to verify your address and telephone number and discuss any assistance which we may offer. It will be my pleasure to assist you during this time.

Thank you for your anticipated cooperation and I look forward to hearing from you.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Bank Robbery Notice of Arrest & Arraignment (602)

DOCUMENT NAME: Event - Bank Robbery Notice of Arrest & Arraignment

DOCUMENT NUMBER:

Event: 602

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_CASE.id |
| 12 | GS_DEFEND_STAT_TYPE.description |
| 13 | GS_EVENT.sched_date |
| 14 | GS_JUDGE.first_name, last_name |
| 15 | GS_EVENT.sched_loc |
| | |
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<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>

<FIELD 7> <FIELD 8> <FIELD 9>
Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

In response to your request to be kept informed about the government's efforts to prosecute <FIELD 10>, I offer the following information.

The defendant has been arrested and is in <FIELD 12>.

Also, to date the defendant has been indicted for bank robbery and an arraignment is scheduled for <FIELD 13> before Magistrate/Judge <FIELD 14> in courtroom <FIELD 15>.

The next step in the process is to set a trial date. You will be notified of the trial date, and if your appearance is required a subpoena will be issued for you. You will be compensated for your time according to government regulations. If a plea agreement is considered, you will be notified before it is accepted, and your physical appearance will not be required in court.

Again, feel free to call, collect if out of the local dialing area, when you receive this letter if you have any questions.

Thank you for your continued cooperation.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Trial Date Letter - Bank Robbery (603)

DOCUMENT NAME: Event - Trial Date Letter - Bank Robbery

DOCUMENT NUMBER:

Event: 603

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_EVENT.sched_date |
| 13 | GS_EVENT.sched_loc |
| 14 | GS_STAFF.first_name, last_name |
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<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

We have reached the stage in the case where a trial is scheduled for the defendant's participation in the robbery of the institution where you are employed.

The date for this trial has been set for <FIELD 12>. It is possible, however, that this date may change. Also, many cases are resolved before they reach the trial stage. We ask your indulgence in advance for any continuances, other delays or last minute changes which may occur in this matter. The nature of the criminal justice system is sometimes uncertain because of unpredictable events. You will be informed in advance of any changes which occur.

If you have been subpoenaed to testify in this case, please report to <FIELD 13> on this date unless <FIELD 14>, the Assistant United States Attorney assigned to this case, has directed you to appear elsewhere. As a government victim-witness, you are entitled to certain fees and travel expenses associated with your appearance. The enclosed government travel information will explain these entitlements. If a guilty plea agreement is reached which would not require your physical appearance in court, you will be notified.

The United States Marshals Service has taken certain precautions to make this building secure. All visitors entering the building must pass through a metal detector. This procedure exists to ensure the safety of everyone.

As the trial approaches, there may be a need for either the attorney or the law enforcement officer to contact you. If anyone not associated with the United States Attorney's Office contacts you, such as someone from the "Federal Court" or the "Federal Public Defender's Office," you are under **no** obligation to speak with them if you do not wish to do so. You may, however, speak with them if you choose. If you are contacted by any of these people, we would appreciate it if you would advise us of whether or not you agreed to speak with them.

Thank you for your continued cooperation.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Postponement Letter (604)

DOCUMENT NAME: Event - Postponement Letter

DOCUMENT NUMBER:

Event: 604

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_EVENT.sched_date |
| 13 | GS_EVENT.sched_time |
| 14 | GS_JUDGE.first_name, last_name |
| 15 | GS_EVENT.sched_loc |
| | |
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<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

Please be advised the trial in this case has been postponed. We regret any inconvenience this delay may have caused you and we value your continued cooperation.

The **new** scheduled date for trial is <FIELD 12> at <FIELD 13> before Judge <FIELD 14> in courtroom <FIELD 15>. Our criminal justice system is dependant upon the involvement and cooperation of citizens like yourself and we appreciate your assistance with our efforts.

Though we cannot control all the events related to this case, this office is here to serve you. Please feel free to call with any questions you may have at this point.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Guilty Plea / Sentence Notification (605)

DOCUMENT NAME: Event - Guilty Plea / Sentence Notification

DOCUMENT NUMBER:

Event: 605

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_CASE.lead_charge |
| 13 | GS_JUDGE.first_name, last_name |
| 14 | GS_PART_COUNT.disp_date |
| 15 | GS_EVENT.sched_loc |
| 16 | GS_EVENT.sched_time |
| 17 | GS_EVENT.sched_date |
| | |

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

This is to confirm that <FIELD 10> will enter a plea of guilty to <FIELD 12>, on <FIELD 14> before Judge <FIELD 13> in <FIELD 15>. Therefore, there will be no trial or testimony requiring your appearance.

Even though this case did not reach trial, your availability and cooperation as a witness strengthened the position of the government's case. We appreciate your assistance.

The sentencing in this case has been set for <FIELD 17>, before Judge <FIELD 13> in <FIELD 15> at <FIELD 16>. You are welcome to attend this proceeding, though your attendance is not required by the court. If you wish to attend, please contact us the day before to confirm the date and time.

The judge has ordered the Probation Department to prepare a pre-sentence investigation prior to sentencing. In addition to background information on the defendant, the court seeks information regarding the impact of the robbery on you as a victim-witness. In an effort to assist with this process I am enclosing a Victim Impact Statement (and brochure if applicable) for your completion.

This statement may become a formal part of the court record and as such **may** be seen by the defendant and his or her attorney. Though we encourage you to attempt to personalize for the court the trauma you have experienced, we understand this may present a problem for you. If so, please feel free to notify me and I will try to assist you with any problems this presents.

When the information is available, I will notify you of the final disposition of the case and your rights beyond that point.

Thank you for your continued cooperation.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Sentencing Notification Letter (606)

DOCUMENT NAME: Event - Sentencing Notification Letter

DOCUMENT NUMBER:

Event: 606

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_EVENT.sched_date |
| 13 | GS_JUDGE.first_name, last_name |
| 14 | GS_EVENT.sched_loc |
| 15 | GS_EVENT.sched_time |
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<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

This is to advise you that <FIELD 10> will be sentenced on <FIELD 12> before Judge <FIELD 13> in <FIELD 14> at <FIELD 15>.

Your attendance at the sentencing is encouraged, however, your appearance is not required. If you decide to attend, please contact our office the day before to confirm the date and time.

Whether or not you attend the sentencing I will notify you, in writing, of the final outcome of this case when the information becomes available. I will also remind you of your rights to information after the sentencing phase of this case at that time.

Your continued cooperation is appreciated.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Guilty Verdict / Victim Impact / Sentence Notice (609)

DOCUMENT NAME: Event - Guilty Verdict / Victim Impact / Sentence Notice

DOCUMENT NUMBER:

Event: 609

Contact Log:

Batch:

| WP.DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_EVENT.sched_date |
| 13 | GS_JUDGE.first_name, last_name |
| 14 | GS_EVENT.sched_loc |
| 15 | GS_EVENT.sched_time |
| | |
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<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States vs. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

By now you are aware that our combined efforts in the above captioned case were successful and the defendant was convicted.

We could not have secured this conviction without your help and cooperation and we wish to thank you.

The defendant is scheduled to be sentenced on <FIELD 12> before Judge <FIELD 13> in <FIELD 14> at <FIELD 15>. Your attendance is encouraged at sentencing but is not required. If you decide to attend, please call our office the day before to confirm the date and time.

Prior to the sentencing proceeding, the Probation Department will be compiling a pre-sentence report as ordered by the judge. In addition to information on the background of the defendant, the court is looking for the impact this crime had on you, the victim. Only by having all the information regarding this crime can a balanced disposition be sought. Therefore, I am enclosing a Victim Impact Statement for your completion.

This is your opportunity to advise the court of the effect this criminal behavior has had on your life. Your statement becomes part of the formal court record and as such *may* be seen by the defendant or his or her attorney. If this presents a problem for you please notify me. Otherwise, please return the completed statement in the pre-addressed postage paid envelope at your earliest convenience.

Thank you again for your continued cooperation and assistance.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Enclosure

Disposition Letter – Guilty (610)

DOCUMENT NAME: Event - Disposition Letter - Guilty

DOCUMENT NUMBER:

Event: 610

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|---------------------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_SENTENCE.sent_date |
| 13 | GS_JUDGE.first_name, last_name |
| 14 | GS_SENTENCE.incar_years + months + days (TOTAL IN MONTHS) |
| 15 | GS_SENTENCE.super_rel_years + months + days (TOTAL IN MONTHS) |
| 16 | GS_SENTENCE.spec_assessment |
| | |
| | |
| | |

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

By now you are aware that our combined efforts in the prosecution of were successful. This letter is to inform you of the court's decision in this case.

As a result of his or her conviction, the defendant was sentenced on <FIELD 12> before Judge <FIELD 13>. The decision was made to incarcerate the defendant for <FIELD 14> months.

Upon release from imprisonment, the defendant shall be on supervised release for a term of <FIELD 15> months. Additionally, a \$<FIELD 16> Special Assessment was ordered to be paid. These monies are used to fund victim services and violent crime compensation programs nationwide.

You are entitled to certain information regarding this defendant while he or she is in federal custody. This information includes notice of furloughs, transfers, death and final release, as well as any escape. In order to avail yourself of this service, please return the enclosed completed form (either printed or typed) in the pre-addressed postage paid envelope.

We would like to take this opportunity to thank you for your patience and cooperation through this proceeding. Only in cooperation with the efforts of concerned citizens like yourself can we have a successful system of justice. If you have any questions, please do not hesitate to call.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

[Victim/Witness
[Address]

Coordinator]

Re: United States v. <FIELD 10>

Bureau of Prisons Notification

Dear [NAME]:

Please be advised that I wish this to serve as my request for notification of any and all release related proceedings involving the above captioned defendant. This information includes notice of furloughs, transfers, death and final release, as well as any escape. I understand this request will be forwarded to the Bureau of Prisons which will keep me informed of all changes.

My current information is:

NAME: _____

ADDRESS: _____

HOME PHONE: _____

WORK PHONE: _____

I understand that the responsibility for notifying the Bureau of Prisons of any change in my address and/or phone number is mine. Thank you for your assistance.

Sincerely,

Notification to BOP of Victim Request (612)

DOCUMENT NAME: Event - Notification to BOP of Victim Request

DOCUMENT NUMBER:

Event: 612

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------------------------|
| 1 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 2 | GS_PARTICIPANT.marshall_num |
| 3 | GS_COURT_HIST.court_number |
| 4 | GS_SENTENCE.sentence_date |
| 5 | GS_PARTICIPANT.salutation |
| 6 | GS_PARTICIPANT.first_name |
| 7 | GS_PARTICIPANT.last_name |
| 8 | GS_PARTICIPANT.home_address1 |
| 9 | GS_PARTICIPANT.home_address2 |
| 10 | GS_PARTICIPANT.home_address3 |
| 11 | GS_PARTICIPANT.home_city |
| 12 | GS_PARTICIPANT.home_state |
| 13 | GS_PARTICIPANT.home_zipcode |
| 14 | GS_PARTICIPANT.home_phone |
| 15 | GS_PARTICIPANT.office_phone |
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[NAME]
Victim-Witness Coordinator
Office of Victim Assistance
Federal Bureau of Prisons
[Address]

Re: United States v. <FIELD 1>
U.S. Marshal #: <FIELD 2>
Docket # : <FIELD 3>
Date of Sentencing: <FIELD 4>

Dear [NAME]

The following individual(s) have requested to be notified of all release and release-related proceedings pertaining to the above captioned defendant. This information includes notice of furloughs, transfers, death and final release, as well as any escape.

<FIELD 5> <FIELD 6> <FIELD 7>
<FIELD 8>
<FIELD 9?>
<FIELD 10?>
<FIELD 11>, <FIELD 12> <FIELD 13>

Phone #'s:

Home: <FIELD 14>
Work: <FIELD 15>

Thank you for your assistance in this matter. If you have any questions please feel free to contact me at (*phone number*).

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Juvenile Victim Assistance (615)

DOCUMENT NAME: Event - Juvenile Victim Assistance

DOCUMENT NUMBER:

Event: 615

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_PARTICIPANT.first_name, last_name (JUVENILE VICTIM) |
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<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: US vs. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

On behalf of the United States Attorney's Office in (*district*), we wish to tell you how sorry we are that <FIELD 12> has become a victim of crime. When violence strikes our children, feelings of rage, helplessness and frustration are natural. It is the responsibility of those of us in the criminal justice system to attempt to rectify as much of the harm you are suffering as possible. It is our goal to see that justice is done in this case.

Federal crime victims are entitled to certain rights. The Victim-Witness Assistance Program has been established to help you understand and exercise those rights and aid in the recovery from any trauma this event may have caused you and those close to you. The enclosed brochure will tell you more about the services available to you.

You have a **right** to know what procedures will take place and what role, if any, you and your child have in those procedures. You have a **right** to confer with a government attorney. You are also entitled to be informed about sentencing, imprisonment and release of an offender in the event of a conviction. Your participation in the **notification** part of this program is voluntary.

Stated at the top of this letter you will find: US vs. <FIELD 10>. Please be advised that this is standard in our correspondence and identifies individual cases for us. The name which appears there is the individual accused of the crime. When you contact us, please use the name stated there to identify the case about which you are inquiring.

Please call, collect if out of the local dialing area, upon receipt of this letter to verify your address and telephone number and discuss your rights and any assistance which we may offer at this time. It will be my pleasure to assist you.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Disposition Letter (622)

DOCUMENT NAME: Event - Disposition Letter

DOCUMENT NUMBER:

Event: 622

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|---------------------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_JUDGE.first_name, last_name |
| 13 | GS_SENTENCE.incar_years + months + days (TOTAL IN MONTHS) |
| 14 | GS_SENTENCE.super_rel_years + months + days (TOTAL IN MONTHS) |
| 15 | GS_SENTENCE.spec_assessment |
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<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: US v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

Please accept our gratitude for your assistance and cooperation in the successful prosecution of <FIELD 10>.

Judge <FIELD 12> has sentenced the defendant to <FIELD 13> months of incarceration.

Upon release from prison, the defendant shall be on supervised release for <FIELD 14> months. In addition, a Special Assessment of \$<FIELD 15> was ordered to be paid by the defendant. These monies are used to fund victim services and crime compensation programs nationwide.

You are entitled to certain information regarding this defendant while he or she is in custody. This information includes notice of furloughs, transfers, death and final release, as well as any escape. In order to avail yourself of this service, please return the enclosed completed form (*either printed or typed*) in the pre-addressed postage paid envelope.

Only with the efforts of concerned citizens like yourself can we have a successful system of justice. If you have any questions, please do not hesitate to call.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

[Victim Witness Coordinator]
[Address]
[Address]

Re: United States v. <FIELD 10>
Case # <FIELD 11>

Bureau of Prisons Notification

Dear [NAME]:

Please be advised that I wish this to serve as my request for notification of any and all release related proceedings involving the above captioned defendant. This information includes notice of furloughs, transfers, death and final release, as well as any escape. I understand this request will be forwarded to the Bureau of Prisons which will keep me informed of all changes.

My current information is:

NAME: _____

ADDRESS: _____

HOME PHONE: _____

WORK PHONE: _____

I understand that the responsibility for notifying the Bureau of Prisons of any change in my address and/or phone number is mine. Thank you for your assistance.

Sincerely,

Postponement Letter (General) (632)

DOCUMENT NAME: Event - Postponement Letter (General)

DOCUMENT NUMBER:

Event: 632

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_EVENT.sched_date |
| 13 | GS_JUDGE.first_name, last_name |
| 14 | GS_EVENT.sched_loc |
| | |
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<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

This is to advise you that, unfortunately, the trial in the above referenced case had to be postponed. Occasionally, court calendars become overcrowded because of events beyond our control and some cases must be rescheduled.

The **new** date for this trial is , before Judge in . We apologize for any inconvenience this change may cause you. It is only with the assistance and cooperation of concerned citizens like yourself that the criminal justice system is able to function.

Please feel free to call if you have any questions. Your continued cooperation is appreciated.

Sincerely,

[NAME]
United States Attorney

[NAME]
Victim-Witness Coordinator

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

Unfortunately, this letter will confirm that was found not guilty in the above-referenced case. We in the criminal justice system share your concern and disappointment over this matter.

The burden of proving a criminal case "beyond a reasonable doubt" is a difficult one. It is important for you to remember, however, that with your help and cooperation we vigorously prosecuted this case within the framework of our criminal justice system.

As a victim in this case you have fulfilled a most vital and necessary function within our system. Without your help and cooperation we would not have been able to go forward and we want to acknowledge your efforts and thank you for your contribution.

If you are pursuing civil remedies in this matter, or if you intend to do so, the verdict does not affect that action.

If I can answer any questions regarding this matter, please feel free to call me *Monday-Friday week) between 8a.m. - 5p.m.*

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Sentence (Restitution) & BOP Notification (634)

DOCUMENT NAME: Event - Sentence (Restitution) & BOP Notification

DOCUMENT NUMBER:

Event: 634

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|---------------------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_SENTENCE.sent_date |
| 13 | GS_SENTENCE.judge |
| 14 | GS_SENTENCE.incar_years + months + days (TOTAL IN MONTHS) |
| 15 | GS-RESTITUTION.amount |
| 16 | GS_SENTENCE.super_rel_years + months + days (TOTAL IN MONTHS) |
| 17 | GS_SENTENCE.spec_assessment |
| | |

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

By now you are aware that our combined efforts in the prosecution of <FIELD 10> were successful.

This letter is to inform you of the court's decision in this case.

<FIELD 10> was sentenced on <FIELD 12> before Judge <FIELD 13>. The decision was made to incarcerate the defendant for <FIELD 14> months. The defendant was ordered to <FIELD 15> in restitution. Upon release from imprisonment, the defendant shall be on supervised release for a term of <FIELD 16> months. Additionally, a <FIELD 17> Special Assessment was ordered to be paid. These monies are used to fund victim services and violent crime compensation programs nationwide.

You are entitled to certain information regarding this defendant while he or she is in federal custody. This information includes notice of furloughs, transfers, death and final release, as well as any escape. In order to avail yourself of this service, please return the enclosed completed form (either printed or typed) in the pre-addressed postage paid envelope.

We would like to take this opportunity to thank you for your patience and cooperation through this process. Only with the efforts of concerned citizens like yourself can we have a successful system of justice. If you have any further questions, please do not hesitate to call me at (*phone*).

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

[Victim/Witness
[Address]

Coordinator]

Re: United States v. <FIELD 10>

Bureau of Prisons Notification

Dear [NAME]:

Please be advised that I wish this to serve as my request for notification of any and all release related proceedings involving the above captioned defendant. This information includes notice of furloughs, transfers, death and final release, as well as any escape. I understand this request will be forwarded to the Bureau of Prisons which will keep me informed of all changes.

My current information is:

NAME: _____

ADDRESS: _____

HOME PHONE: _____

WORK PHONE: _____

I understand that the responsibility for notifying the Bureau of Prisons of any change in my address and/or phone number is mine. Thank you for your assistance.

Sincerely,

Initial Letter - Inclusions (White Collar) (635)

DOCUMENT NAME: Event - Initial Letter - Inclusions (White Collar)

DOCUMENT NUMBER:

Event: 635

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_DEFEND_STAT_TYPE.description |
| 13 | GS_CHARGE_TYPE.description |
| 14 | GS_EVENT.sched_date |
| 15 | GS-JUDGE.first_name, last_name |
| 16 | GS_EVENT.sched_loc |
| | |
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<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

This letter is being sent to inform you that we have enough information to charge <FIELD 10> with <FIELD 13>. Unfortunately, our records indicate that you are among those victimized.

The Victim-Witness Assistance Unit has been established to provide you with criminal justice information regarding this case and aid in your recovery from this crime. The enclosed brochure will give you more information about available services from this office.

At this point in time, the offender is <FIELD 12>. Arraignment on the charges is scheduled for <FIELD 14>, before Magistrate/Judge <FIELD 15> in <FIELD 16>.

The next step in this process is to set a trial date. You will be notified of that date, and if your appearance is needed we will assist you with those arrangements and you will be compensated for your time according to government regulations. If a guilty plea agreement is considered, you will be notified about that as well.

Please call, collect if out of the local dialing area, when you receive this letter to verify your address and telephone number. I am available from *Monday-Friday* between *8a.m. - 5p.m.*

Your anticipated cooperation is appreciated.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Guilty Plea (Fraud) - Victim Impact Statement (636)

DOCUMENT NAME: Event - Guilty Plea (Fraud) - Victim Impact Statement

DOCUMENT NUMBER:

Event: 636

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_PARTICIPANT.arrest_date (DEFENDANT) |
| 13 | GS_CHARGE_TYPE.description |
| 14 | GS_PART_COUNT.disp_date |
| 15 | GS_EVENT.sched_date |
| 16 | GS_EVENT.sched_time |
| | |
| | |
| | |

<FIELD 1> <FIELD 2> <FIELD 3>
 <FIELD 4>
 <FIELD 5?>
 <FIELD 6?>
 <FIELD 7> <FIELD 8> <FIELD 9>

Re: <FIELD 10>
 Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

Thank you for your response to my earlier correspondence. At this time I would like to update you on this matter.

Thanks in large part to your assistance, and others in similar situations, the Federal Bureau of Investigation (FBI) was able to identify <FIELD 10> and other individuals responsible for (*fraudulent activity, product, service, etc.*).

On <FIELD 12>, <FIELD 10> was arrested and charged with <FIELD 13>. On <FIELD 14> the defendant pled guilty to <FIELD 13> and so a possible lengthy and costly trial proceeding has been avoided.

Sentencing in this case is scheduled for <FIELD 15> at <FIELD 16>. Your attendance is not required, however, you are welcome to attend if you so choose. Unfortunately, the government cannot reimburse you for any appearances which it does not require. I am enclosing a Victim Impact Statement for your completion prior to the sentencing of the defendant. We are in receipt of your previously submitted financial loss information; however, the court would like to consider the total **impact** of this crime on your life. This statement may be seen by the defendant and (*his/her*) attorney. If this presents a problem for you, or you need assistance in completing the statement, do not hesitate to call me. Please return the completed statement in the pre-addressed postage paid envelope.

I will, of course, notify you of the outcome following the judge's decision and your rights as a victim of crime from this point forward. In the meantime, efforts are being made to apprehend and prosecute others involved in this fraudulent scheme.

Thank you again for your cooperation.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Enclosure

Trial Date Letter (637)

DOCUMENT NAME: Event - Trial Date Letter

DOCUMENT NUMBER:

Event: 637

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_EVENT.sched_date |
| 13 | GS_EVENT.sched_time |
| 14 | GS_JUDGE.first_name, last_name |
| 15 | GS_EVENT.sched_loc |
| | |
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| | |

<FIELD 1> <FIELD 2> <FIELD 3>
 <FIELD 4>
 <FIELD 5?>
 <FIELD 6?>
 <FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
 Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

This letter is to inform you that the case against <FIELD 10> has been scheduled for trial on <FIELD 12> at <FIELD 13> before Judge <FIELD 14> in <FIELD 15>. Unpredictable events, such as trials taking longer than originally estimated, sometimes force delays within the system. We ask your indulgence in advance for any continuances, other delays, or last-minute changes that may occur in this matter.

Your continued assistance and cooperation have contributed to our being able to reach this stage. If you are subpoenaed, please come to (*waiting area, courtroom, your office, etc.*) at (*time*). As a government witness you are entitled to certain fees and travel expenses associated with your court appearance. I am enclosing a government travel information survey in an effort to assist you with this process.

If you have not been in our building before, you should know the United States Marshals Service has taken certain precautions to make this building secure. All visitors, including government witnesses, entering the building must pass through a metal detector. This procedure exists to ensure the safety of everyone.

As the trial date approaches, there may be a need for either the attorney or the law enforcement officer to contact you. If anyone contacts you from an office other than the United States Attorney's Office, such as the "Federal Court" or the "Federal Public Defender's Office," you do not have to respond to them. You are, of course, allowed to speak with them if you so desire. We would ask, if you are contacted by any of these people, to advise our office of your decision regarding answering their questions.

If anything in this case changes which would affect your appearance, I will notify you. If you have any questions about the case or if we may lend any assistance at this time, please do not hesitate to call. I am available *Monday - Friday* between *8a.m. - 5p.m.*

Thank you for your continued cooperation.

Sincerely,

[NAME]
United States Attorney

By:
Victim-Witness Coordinator

[NAME]

Guilty Verdict - Sentence Notification (638)

DOCUMENT NAME: Event - Guilty Verdict - Sentence Notification

DOCUMENT NUMBER:

Event: 638

Contact Log:

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_EVENT.sched_date |
| 13 | GS_JUDGE.first_name, last.name |
| 14 | GS_EVENT.sched_loc |
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<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

As you are aware by now, our combined efforts resulted in a guilty finding for <FIELD 10>. This letter is to inform you that the defendant will be sentenced on . The proceeding will take place before Judge in .

Your attendance at the sentencing is not required but you are welcome to attend if you choose. If you decide to attend, please check with our office the day before to confirm the date and time to avoid any inconvenience for yourself in the event of a last minute change in scheduling.

The enclosed Victim Impact Statement will help the court more fairly determine the total harm this criminal act caused you and those close to you. You have previously submitted your financial information and it will be included in the record. However, it has been my experience that cases known as "white collar crimes" often leave emotional harm in their wake. Your statement may be seen by the defendant and his or her attorney. If this presents a problem for you please call me and we will discuss it. I have enclosed a pre-addressed postage paid envelope for your convenience.

I will notify you, in writing, of the final outcome when the information is available. At that time, I will review with you your right to information after the sentencing phase of this case.

Thank you for your continued assistance and cooperation.

Sincerely,

[NAME]
United States Attorney

By:
Victim-Witness Coordinator Enclosure

[NAME]

VICTIM WITNESS LETTERS – CONTACT LOG

Victim Witness Letter (502)

DOCUMENT NAME: Contact Log - Victim Witness Letter

DOCUMENT NUMBER:

Event: Contact Log: 502

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_CASE.name |
| 11 | GS_CASE.id |
| 12 | GS_INST_TYPE.description |
| 13 | GS_INSTRUMENT.filing_date |
| 14 | GS_JUDGE.first_name, last_name |
| 15 | GS_STAFF.first_name, last_name |
| 16 | GS_DEFEND_STAT.bond_amount |
| | |
| | |
| | |

<FIELD 1> <FIELD 2> <FIELD 3>
 <FIELD 4>
 <FIELD 5?>
 <FIELD 6?>
 <FIELD 7> <FIELD 8> <FIELD 9>

Re: <FIELD 10>
 Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

Your name was referred to our office by a federal investigator as being a victim or witness of a federal crime. This is to advise you that an <FIELD 12> against the above-named defendant was filed on <FIELD 13>. The case has been assigned to United States District Judge <FIELD 14>, and Assistant United States Attorney <FIELD 15> will prosecute the case.

The defendant has been arrested and is being held, with bail in the amount of \$<FIELD 16>, pending trial.

Currently plea negotiations are ongoing in an attempt to resolve this case without a trial. If you have any additional information you would like to share with the prosecutor at this time, please contact the prosecutor at (XXX) XXX-XXXX.

Victims of federal crimes are entitled to certain rights, including the right:

To be notified of significant case-related court proceedings.

To confer with the Government attorney.

To complete a victim impact statement upon conviction of a defendant, or provide information to a presentence probation officer, describing the impact of the crime and to request restitution. This information may be used by the Judge in considering the most appropriate sentence for the defendant.

To speak in court at sentencing on the impact of the crime, if you are the victim of a violent crime.

To be notified of the sentence, imprisonment, and release-related information, if there is a conviction.

To apply to the State Crime Victims Fund, if you are a victim of a violent crime, for such out-of-pocket expenses as medical bills, lost wages, funeral expenses, and counseling related to the impact of the crime, not covered by other programs. (The fund does not cover property loss, which may be covered by restitution, or filing a civil action.)

Our Victim/Witness Assistance Unit has been established to help you exercise your rights and assist in your recovery from any trauma or problems this crime may have caused. As the Victim/Witness Coordinator, I am available to assist you by providing information, available resources, and support for your role as a victim or witness of a federal crime.

If you wish to be notified of significant court proceedings in the above-entitled case, please complete the enclosed "**Request for Notice**" form and return it to me in the enclosed, pre-addressed envelope within 10 days. Please be aware that only the notification service is optional.

If you are a subpoenaed witness, you will be required to attend any court hearings for which you receive a subpoena. If your appearance is required, you will be compensated for your time and travel expenses according to government regulations.

Please be sure to keep our office informed of any address and phone number changes and where you may be contacted both during the day and evening.

If you have any questions or concerns, please do not hesitate to contact me or the prosecutor. I can be reached at (619) 557-5527.

Very truly yours,

[NAME]
United States Attorney

[NAME]
Victim/Witness Coordinator

Enclosure: Request for Notice

TO: [NAME]
Victim/Witness Coordinator

REQUEST FOR NOTICE

Re: <FIELD 10>
Court Docket No. <FIELD 11>

Please notify me of any significant court proceedings in the above-entitled case.

NAME: (Print) _____

HOME ADDRESS: _____

BUSINESS ADDRESS: _____

TELEPHONE: (Business) _____ (Home) _____

DATE: _____ SIGNATURE: _____

Note: If notification is desired, this form should be signed
and returned within 10 days in the enclosed envelope.

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: US v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

I am the Victim Services Coordinator at the United States Attorney's Office. A federal investigator, <FIELD 10>, recently referred your name to me as a recent victim of a crime, on <FIELD 11>.

There are several services available to help you. The Victim Compensation Program is a State program that can pay for lost wages and out-of-pocket medical or counseling expenses incurred as a result of the crime. The program is funded by fines and penalties paid by people convicted of federal and state crimes, so there is no cost to you.

In addition, I can assist in helping you to stay informed on the status of the investigation against any suspects in the case.

Finally, I am available for moral support at any time, to help in resolving the emotional impact of being a crime victim. This can be a difficult time for a victim and their family.

If I can assist you in any way, please call me at (XXX) XXX-XXXX.

Very truly yours,

NAME
United States Attorney

NAME
Victim/Witness Coordinator

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: <FIELD 10>
Case Number: <FIELD 11>

IMPORTANT NOTICE!!!

Due to the large number of victims and witnesses involved in this case, we request that you please return this checklist if you would like to be notified of significant case events, such as trial dates/results, entry of guilty plea, providing a victim impact statement upon conviction, or sentencing dates and results. If you would like to receive notification of these significant case events, please return the completed checklist to:

NAME
VICTIM/WITNESS COORDINATOR
UNITED STATES ATTORNEY'S OFFICE
ADDRESS LINE 1
ADDRESS LINE 2
CITY, STATE ZIP CODE

Further notifications on this case will not be mailed unless this notification request is returned to our office.

If the victim or witness is a corporation or other business entity, please include a contact person's name, as well as the corporate name.

PLEASE INDICATE THE FOLLOWING:

VICTIM ____ WITNESS ____ BUSINESS NAME: _____

PRINTED NAME (Contact Person): _____

ADDRESS: _____

PHONE NO. (Days) _____ PHONE NO. (Eves.) _____

OTHER INFORMATION YOU WOULD LIKE OUR OFFICE TO KNOW:

REQUEST FOR NOTICE AND NOTIFICATION CHECKLIST

(White Collar Crime)

TO: NAME
VICTIM/WITNESS COORDINATOR
UNITED STATES ATTORNEY'S OFFICE
ADDRESS LINE 1
ADDRESS LINE 2
CITY, STATE ZIP CODE

CASE NAME: _____

CASE NUMBER: _____

As a victim or a witness in the above-captioned federal case, I request notification of the following case events:

- _____ 1. Trial date(s)
- _____ 2. Guilty plea or trial results
- _____ 3. Sentencing dates and information regarding
Victim Impact Statement
- _____ 4. Judgment entered

(Date)

(Signature)

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Dear <FIELD 1> <FIELD 3>:

The United States Attorney's Office is investigating the matter in which you were victimized by a juvenile offender.

Federal law curtails the type of information we may disclose regarding juvenile proceedings. Therefore, we will not be able to keep you informed about the progress of this matter in the same manner that we do when an adult is prosecuted. However, at your request, we can inform you of the final disposition (*e.g., the adjudication and sentence*) after the conclusion of any proceeding against this juvenile. Therefore, if you wish to be notified of any such final disposition, you must request that notification. I am enclosing a notification form for your convenient return.

Although our office is somewhat limited when disclosing information to you concerning a juvenile proceeding, you are not limited in submitting information to us. You have the right to submit to us any information about how this crime affected you and your family, and to provide your views about appropriate disposition of this matter. If you wish to do this, please send your comments to me at the above address and I will see that they reach the appropriate parties.

Feel free to call, collect if out of the local dialing area, if we can be of further assistance to you. We can be reached (*days of the week*), between (*a.m. - p.m.*).

Sincerely,

[NAME]
United States Attorney

By:
Victim-Witness Coordinator

[NAME]

Enclosure

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Dear <FIELD 1> <FIELD 3>:

The United States Attorney's Office is investigating the matter in which a family member was victimized by a juvenile offender.

Federal law curtails the type of information we may disclose regarding juvenile proceedings. Therefore, we will not be able to keep you informed about the progress of this matter in the same manner that we do when an adult is prosecuted. However, at your request, we can inform you of the final disposition (*e.g., the adjudication and sentence*) after the conclusion of any proceeding against this juvenile. Therefore, if you wish to be notified of any such final disposition, you must request that notification. I am enclosing a notification form for your convenient return.

Although our office is somewhat limited when disclosing information to you concerning a juvenile proceeding, you are not limited in submitting information to us. You have the right to submit to us any information about how this crime affected you and your family, and to provide your views about appropriate disposition of this matter. If you wish to do this, please send your comments to me at the above address and I will see that they reach the appropriate parties.

Feel free to call, collect if out of the local dialing area, if we can be of further assistance to you. We can be reached (*days of the week*), between (*a.m. - p.m.*).

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Enclosure

Bank Robbery Initial Letter (702)

DOCUMENT NAME: Contact Log - Bank Robbery Initial Letter

DOCUMENT NUMBER:

Event: Contact Log: 702

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_CASE.name |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_CASE.offense_from |
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<FIELD 1> <FIELD 2> <FIELD 3>
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<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

Unfortunately, our records indicate that you were recently a victim or a witness in a bank robbery which took place on <FIELD 12>. Your help and cooperation are needed by the United State's Attorney's Office in order to successfully prosecute this case.

As a victim of a federal crime you are entitled to certain rights. The Victim-Witness Assistance Unit has been established to help you help exercise those rights and aid in your recovery from any trauma this event may have caused. The enclosed brochure will explain more about the services available to you through this office. You have the right to:

Be informed about important case related court proceedings.

Confer with a government attorney.

Be informed about sentencing, imprisonment and release of an offender in cases which result in conviction.

Your participation in the **notification** part of this program is voluntary. If your participation in our efforts to prosecute this offender becomes necessary, however, your appearance will be mandatory.

Stated at the top of this letter you will find: "Re: <FIELD 10>." Please be advised this is standard in our correspondence and identifies individual cases for us. The name which appears there is the individual accused of the crime in this case. When you contact us, please use the name stated there to identify the case about which you are inquiring.

Please call, collect if out of the local dialing area, when you receive this letter to verify your address and telephone number and discuss any assistance which we may offer. It will be my pleasure to assist you during this time.

Thank you for your anticipated cooperation and I look forward to hearing from you.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

To Whom it may concern:

I am contacting you on behalf of the United States Attorney's Office for the District of *(name of district)*. Unfortunately, <FIELD 9> <FIELD 10>, an employee of your company has become the victim of a crime.

In order to proceed with the prosecution against the person accused of this crime, we have subpoenaed to testify in court at the time of the trial.

<FIELD 11> <FIELD 10> has expressed concern over losing time and wages from *(his/her)* job because of this situation. It has been our experience that most companies have a personnel policy which allows for "Paid Leave" for employees summoned for jury duty. It seems to be understood and accepted that this duty is part of every citizen's civic responsibility. Those of us working in the criminal justice system would like to see that policy extended to include criminal matters involving the cooperation of citizens like <FIELD 11> <FIELD 10>, who are mandated to become involved in the justice system. These people should not be additionally burdened by things beyond their control such as lost wages.

We understand that your business may be burdened by these events as well. However, it is only through the cooperation and assistance of concerned citizens that the criminal justice system can function.

If you have any questions regarding this case please feel free to contact me. In anticipation of your cooperation in this matter, please accept our gratitude.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Disposition Letter – Guilty (710)

DOCUMENT NAME: Contact Log - Disposition Letter - Guilty

DOCUMENT NUMBER:

Event: Contact Log: 710

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|---------------------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_SENTENCE.sent_date |
| 13 | GS_SENTENCE.judge |
| 14 | GS_SENTENCE.incar_years + months + days (TOTAL IN MONTHS) |
| 15 | GS_SENTENCE.super_rel_years + months + days (TOTAL IN MONTHS) |
| 16 | GS_SENTENCE.spec_assessment |
| | |
| | |
| | |

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

By now you are aware that our combined efforts in the prosecution of <FIELD 10> were successful. This letter is to inform you of the court's decision in this case.

As a result of his or her conviction, the defendant was sentenced on <FIELD 12> before Judge <FIELD 13>. The decision was made to incarcerate the defendant for <FIELD 14> months.

Upon release from imprisonment, the defendant shall be on supervised release for a term of <FIELD 15> months. Additionally, a \$<FIELD 16> Special Assessment was ordered to be paid. These monies are used to fund victim services and violent crime compensation programs nationwide.

You are entitled to certain information regarding this defendant while he or she is in federal custody. This information includes notice of furloughs, transfers, death and final release, as well as any escape. In order to avail yourself of this service, please return the enclosed completed form (either printed or typed) in the pre-addressed postage paid envelope.

We would like to take this opportunity to thank you for your patience and cooperation through this proceeding. Only in cooperation with the efforts of concerned citizens like yourself can we have a successful system of justice. If you have any questions, please do not hesitate to call.

Sincerely,

[NAME]
United States Attorney

[NAME]
Victim-Witness Coordinator

[NAME]
[Victim/Witness
[Address]

Coordinator]

Re: United States v. <FIELD 11>

Bureau of Prisons Notification

Dear [NAME]:

Please be advised that I wish this to serve as my request for notification of any and all release related proceedings involving the above captioned defendant. This information includes notice of furloughs, transfers, death and final release, as well as any escape. I understand this request will be forwarded to the Bureau of Prisons which will keep me informed of all changes.

My current information is:

NAME: _____

ADDRESS: _____

HOME PHONE: _____

WORK PHONE: _____

I understand that the responsibility for notifying the Bureau of Prisons of any change in my address and/or phone number is mine. Thank you for your assistance.

Sincerely,

Notification to BOP of Victim Request (712)

DOCUMENT NAME: Contact Log - Notification to BOP of Victim Request

DOCUMENT NUMBER:

Event: Contact Log: 712

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------------------------|
| 1 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 2 | GS_PARTICIPANT.marshals_num |
| 3 | GS_COURT_HIST.court_number |
| 4 | GS_SENTENCE.sent_date |
| 5 | GS_PARTICIPANT.salutation |
| 6 | GS_PARTICIPANT.first_name |
| 7 | GS_PARTICIPANT.last_name |
| 8 | GS_PARTICIPANT.home_address1 |
| 9 | GS_PARTICIPANT.home_address2 |
| 10 | GS_PARTICIPANT.home_address3 |
| 11 | GS_PARTICIPANT.home_city |
| 12 | GS_PARTICIPANT.home_state |
| 13 | GS_PARTICIPANT.home_zipcode |
| 14 | GS_PARTICIPANT.home_phone |
| 15 | GS_PARTICIPANT.office_phone |
| | |
| | |

[NAME]
Victim-Witness Coordinator
Office of Victim Assistance
Federal Bureau of Prisons
[Address]

Re: United States v. <FIELD 1>
U.S. Marshal #: <FIELD 2>
Docket # : <FIELD 3>
Date of Sentencing: <FIELD 4>

Dear [NAME]

The following individual(s) have requested to be notified of all release and release-related proceedings pertaining to the above captioned defendant. This information includes notice of furloughs, transfers, death and final release, as well as any escape.

<FIELD 5> <FIELD 6> <FIELD 7>
<FIELD 8>
<FIELD 9?>
<FIELD 10?>
<FIELD 11>, <FIELD 12> <FIELD 13>

Phone #'s:

Home: <FIELD 14>
Work: <FIELD 15>

Thank you for your assistance in this matter. If you have any questions please feel free to contact me at (*phone number*).

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Information Request Verification

Dear <FIELD 1> <FIELD 3>:

Your request to be notified of all release and release related information pertaining to the above captioned defendant has been forwarded to the Bureau of Prisons' Office of Victim Assistance. This information includes notice of furloughs, transfers, death and final release, as well as any escape.

I have enclosed a description of the Bureau of Prisons Victim-Witness Notification Program and the various types of notifications you may receive. Also, in the near future you will begin to receive correspondence from the institution where is confined. Please advise the Bureau of Prisons and or this office of any address or telephone number changes so that contact with you may be maintained.

Should you have any questions or concerns, please feel free to contact either myself at (*PHONE*), or the Bureau of Prisons Victim-Witness Coordinator at (*PHONE*).

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Request for Inmate Status (714)

DOCUMENT NAME: Contact Log - Request for Inmate Status

DOCUMENT NUMBER:

Event: Contact Log: 714

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|---------------------------------------------------------------|
| 1 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 2 | GS_PARTICIPANT.salutation |
| 3 | GS_PARTICIPANT.first_name |
| 4 | GS_PARTICIPANT.last_name |
| 5 | GS_PARTICIPANT.home_address1 |
| 6 | GS_PARTICIPANT.home_address2 |
| 7 | GS_PARTICIPANT.home_address3 |
| 8 | GS_PARTICIPANT.home_city |
| 9 | GS_PARTICIPANT.home_state |
| 10 | GS_PARTICIPANT.home_zipcode |
| 11 | GS_PARTICIPANT.marshals_num |
| 12 | GS_PARTICIPANT.pdid |
| 13 | GS_SENTENCE.sent_date |
| 14 | GS_SENTENCE.incar_years + months + days (TOTAL IN MONTHS) |
| 15 | GS_SENTENCE.prob_years + months + days (TOTAL IN MONTHS) |
| 16 | GS_SENTENCE.super_rel_years + months + days (TOTAL IN MONTHS) |
| | |
| | |
| | |

Name of State Agency Representative
Name of State Agency
Street Address
City, State, Zip Code

Re: United States v. <FIELD 1>

Dear (*Name of Representative*):

This letter is to inform your agency that the victim(s) in the above captioned case wants to be notified of the escape, parole eligibility date, parole hearing date, and the release or transfer of the following defendant(s) from prison.

| | |
|---------------------|-------------------------------------------------------------------------|
| Victim: | <FIELD 2> <FIELD 3> <FIELD 4> |
| Address: | <FIELD 5> <FIELD 6?> <FIELD 7?> <FIELD 8> <FIELD 8> <FIELD 10> |
| Defendant: | <FIELD 1> |
| U.S. Marshal # : | <FIELD 11> |
| State I.D. # : | <FIELD 12> |
| Date Sentenced : | <FIELD 13> |
| Sentence: | <FIELD 14> |
| Probation : | <FIELD 15> |
| Supervised Release: | <FIELD 16> |

(*Name of Coordinator*), the Victim-Witness Coordinator at the Federal Bureau of Prisons in Washington, D.C., has requested that (*his/her*) agency be placed in your state notification system. <FIELD 1> has been sentenced to serve Federal time concurrent/consecutively to State time. Notifying (*name of Coordinator*) of <FIELD 1>'s release from your custody will enable (*him/her*) to easily enter requests for notification into the Federal system.

Name of Chief, Chief
 Victim-Witness Coordinator
 Federal Bureau of Prisons, Office of Victim Assistance
 [Address]

Your cooperation in notifying the victim(s) of these events is greatly appreciated. I have given the victim(s) a copy of this letter with instructions to notify your office of any changes in address and phone number.

If you have any questions, please feel free to call me. Thank you for your anticipated cooperation.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

cc: *Name of Parole Commissioner, Parole Commission*
Name of Chief, Chief
 Victim-Witness Coordinator

Juvenile Victim Assistance (715)

DOCUMENT NAME: Contact Log - Juvenile Victim Assistance

DOCUMENT NUMBER:

Event: Contact Log: 715

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_PARTICIPANT.first_name, last_name (JUVENILE VICTIM) |
| | |
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<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: US v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

On behalf of the United States Attorney's Office in (*district*), we wish to tell you how sorry we are that has become a victim of crime. When violence strikes our children, feelings of rage, helplessness and frustration are natural. It is the responsibility of those of us in the criminal justice system to attempt to rectify as much of the harm you are suffering as possible. It is our goal to see that justice is done in this case.

Federal crime victims are entitled to certain rights. The Victim-Witness Assistance Program has been established to help you understand and exercise those rights and aid in the recovery from any trauma this event may have caused you and those close to you. The enclosed brochure will tell you more about the services available to you.

You have a **right** to know what procedures will take place and what role, if any, you and your child have in those procedures. You have a **right** to confer with a government attorney. You are also entitled to be informed about sentencing, imprisonment and release of an offender in the event of a conviction. Your participation in the **notification** part of this program is voluntary.

Stated at the top of this letter you will find: "." Please be advised that this is standard in our correspondence and identifies individual cases for us. The name which appears there is the individual accused of the crime. When you contact us, please use the name stated there to identify the case about which you are inquiring.

Please call, collect if out of the local dialing area, upon receipt of this letter to verify your address and telephone number and discuss your rights and any assistance which we may offer at this time. It will be my pleasure to assist you.

Sincerely,

[NAME]

United States Attorney

By: [NAME]

Victim-Witness Coordinator

Disposition Letter / BOP Notification (722)

DOCUMENT NAME: Contact Log - Disposition Letter / BOP Notification

DOCUMENT NUMBER:

Event: Contact Log: 722

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|---------------------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_JUDGE.first_name, last_name |
| 13 | GS_SENTENCE.incar_years + months + days (TOTAL IN MONTHS) |
| 14 | GS_SENTENCE.super_rel_years + months + days (TOTAL IN MONTHS) |
| 15 | GS_SENTENCE.spec_assessment |
| | |
| | |
| | |
| | |

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

Please accept our gratitude for your assistance and cooperation in the successful prosecution of <FIELD 10>.

Judge <FIELD 12> has sentenced the defendant to <FIELD 13> months of incarceration.

Upon release from prison, the defendant shall be on supervised release for <FIELD 14> months. In addition, a Special Assessment of \$<FIELD 15> was ordered to be paid by the defendant. These monies are used to fund victim services and crime compensation programs nationwide.

You are entitled to certain information regarding this defendant while he or she is in custody. This information includes notice of furloughs, transfers, death and final release, as well as any escape. In order to avail yourself of this service, please return the enclosed completed form (*either printed or typed*) in the pre-addressed postage paid envelope.

Only with the efforts of concerned citizens like yourself can we have a successful system of justice. If you have any questions, please do not hesitate to call.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

[NAME]
[Address]
[Address]

Re: United States v. <FIELD 10>
Case # <FIELD 11>

Bureau of Prisons Notification

Dear [NAME]:

Please be advised that I wish this to serve as my request for notification of any and all release related proceedings involving the above captioned defendant. This information includes notice of furloughs, transfers, death and final release, as well as any escape. I understand this request will be forwarded to the Bureau of Prisons which will keep me informed of all changes.

My current information is:

NAME: _____

ADDRESS: _____

HOME PHONE: _____

WORK PHONE: _____

I understand that the responsibility for notifying the Bureau of Prisons of any change in my address and/or phone number is mine. Thank you for your assistance.

Sincerely,

Guilty Verdict / Victim Impact Statement (801)

DOCUMENT NAME: Contact Log - Guilty Verdict / Victim Impact Statement

DOCUMENT NUMBER:

Event: Contact Log: 801

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|--------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_CASE.name |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_JUDGE.first_name, last_name |
| | |
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| | |
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| | |

<FIELD 1> <FIELD 2> <FIELD 3>
 <FIELD 4>
 <FIELD 5?>
 <FIELD 6?>
 <FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
 Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

Although many crime victims experience similar feelings, questions and concerns as a result of crime, no two victims experience the same emotional, physical and financial impact. Only you can tell those of us involved in your case how you or those close to you have been affected by this crime. One way to do this is to prepare a victim impact statement. Not all victims are comfortable putting their thoughts on paper, and while you have the opportunity to complete an impact statement, you are under no obligation to do so.

If you would like to submit a victim impact statement for the court's review, an impact statement is attached for your use. The enclosed form may appear to be impersonal, but when it is completed in your own words, it will help to personalize for the judge, probation officer and correctional personnel, the impact that this crime has had on your life and those close to you. To further assist you, I am enclosing a suggestion sheet that may aid you as you complete your impact statement.

It is your right under Federal law to be notified of the sentencing date. If you are uncomfortable writing down your feelings on an impact statement, you may have the opportunity to attend the sentencing hearing and speak to the judge before sentence is passed. If you would like to attend the sentencing hearing to make a personal impact statement to the court, please call (*us/me*) as soon as possible so we can arrange for your appearance.

If you choose to prepare a written victim impact statement, please complete the form if possible within **10** days and return it to our office. Upon receipt of your victim impact statement, (*we/I*) will forward it to the United States Probation Department. The probation department may use your impact statement, after the defendant has been convicted, to prepare a presentence investigative report for Judge . Someone from the probation office may contact you for additional information. If a probation officer does contact you, please respond promptly. In addition to the judge, Assistant U.S. Attorney, and probation officer reviewing your impact statement, it may be viewed by the defendant and his or her attorney.

In addition to informing the court of your feelings, the victim impact statement provides you with an opportunity to present any financial cost you may have incurred as a result of this crime. Judge may use this form in determining what amount of restitution may be appropriate. Restitution is the payment the defendant may be required by the court to make to you as the victim for your financial losses. However, there is no guarantee that the defendant will be able to pay the entire amount. If you have lost property, suffered medical expenses not fully covered by insurance or experienced any additional financial expenses as a direct result of this crime, please complete the enclosed victim financial worksheet and, if possible, attach receipts for your losses.

If you have any questions concerning how to complete the victim impact statement or how it will be used within the criminal justice system, please call me at (*phone number*). I have enclosed a self-

addressed stamped envelope for your use in returning the form to my office. If at all possible, please complete and return your statement within the next 10 days.

No one knows better than you how this crime may have changed your life. Those of us involved in your case believe that it is very important for you to help the court to understand all of the ways this crime has affected you and those close to you. Thank you for taking the time to provide us with this important information.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Enclosure

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

Unfortunately, this letter will confirm that <FIELD 10> was found not guilty in the above-referenced case. We in the criminal justice system share your concern and disappointment over this matter.

The burden of proving a criminal case "beyond a reasonable doubt" is a difficult one. It is important for you to remember, however, that with your help and cooperation we vigorously prosecuted this case within the framework of our criminal justice system.

As a victim in this case you have fulfilled a most vital and necessary function within our system. Without your help and cooperation we would not have been able to go forward and we want to acknowledge your efforts and thank you for your contribution.

If you are pursuing civil remedies in this matter, or if you intend to do so, the verdict does not affect that action.

If I can answer any questions regarding this matter, please feel free to call me *Monday-Friday week) between 8a.m - 5p.m.*

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

Sentencing Notification (803)

DOCUMENT NAME: Contact Log - Sentencing Notification

DOCUMENT NUMBER:

Event: Contact Log: 803

Batch:

| WP DOC FIELD # | LIONS FIELD |
|----------------|---------------------------------------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_PARTICIPANT.first_name, last_name (DEFENDANT) |
| 11 | GS_COURT_HIST.court_number |
| 12 | GS_SENTENCE.sent_date |
| 13 | GS_JUDGE.first_name, last_name |
| 14 | GS_SENTENCE.incar_years + months + days (TOTAL IN MONTHS) |
| 15 | GS-RESTITUTION.amount |
| 16 | GS_SENTENCE.super_rel_years + months + days (TOTAL IN MONTHS) |
| 17 | GS_SENTENCE.spec_assessment |
| | |
| | |

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

By now you are aware that our combined efforts in the prosecution of <FIELD 10> were successful.

This letter is to inform you of the court's decision in this case.

<FIELD 10> was sentenced on <FIELD 12> before Judge <FIELD 13>. The decision was made to incarcerate the defendant for <FIELD 14> months. The defendant was ordered to pay <FIELD 15> in restitution. Upon release from imprisonment, the defendant shall be on supervised release for a term of <FIELD 16> months. Additionally, a <FIELD 17> Special Assessment was ordered to be paid. These monies are used to fund victim services and violent crime compensation programs nationwide.

You are entitled to certain information regarding this defendant while he or she is in federal custody. This information includes notice of furloughs, transfers, death and final release, as well as any escape. In order to avail yourself of this service, please return the enclosed completed form (either printed or typed) in the pre-addressed postage paid envelope.

We would like to take this opportunity to thank you for your patience and cooperation through this process. Only with the efforts of concerned citizens like yourself can we have a successful system of justice. If you have any further questions, please do not hesitate to call me at (*phone number*).

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

[NAME]
Victim/Witness Coordinator
[Address]

Re: United States v. <FIELD 10>

Bureau of Prisons Notification

Dear [NAME]:

Please be advised that I wish this to serve as my request for notification of any and all release related proceedings involving the above captioned defendant. This information includes notice of furloughs, transfers, death and final release, as well as any escape. I understand this request will be forwarded to the Bureau of Prisons which will keep me informed of all changes.

My current information is:

NAME: _____

ADDRESS: _____

HOME PHONE: _____

WORK PHONE: _____

I understand that the responsibility for notifying the Bureau of Prisons of any change in my address and/or phone number is mine. Thank you for your assistance.

Sincerely,

VICTIM WITNESS PROGRAM SUMMARY CHECKLIST

- 1. Case Caption: <FIELD 1>
- 2. Court Docket Number: <FIELD 2>
Lead Charge: <FIELD 3>
- 3. Investigating Agency: <FIELD 4>
Case Agent: <FIELD 5>
USAO File Number: <FIELD 6>
AUSA: <FIELD 7>
- 4. Do VWPA/AG Guidelines apply? (Circle one) YES NO

5. Number of adult victims _____ Number of adult witnesses _____

6. Number of child victims _____ Number of child witnesses _____

VICTIM ASSISTANCE RESPONSE

7. Number of victims receiving notification: _____

8. Victim Notification: Date

- a. Introduction letter/protection/intimidation _____
- b. Arrest or release of accused _____
- c. Information/Indictment filed _____
- d. Judicial proceeding scheduling changes _____
- e. Plea Agreement _____
- f. Trial Result _____
- g. Sentencing hearing dates _____
- h. Victim Impact Statement _____
- i. Date sentence imposed _____
- j. Right to release-related information from BOP _____

9. Victim Consultation:

- a. Pretrial release/diversion _____
- b. Declination or dismissal of any/all charges _____
- c. Plea agreements/sentencing recommendations _____
- d. Restitution _____

10. Record dates notification requests were submitted to BOP for victims/witnesses requesting notification: _____

11. VWC Social Service referrals made:

- a. Emergency medical services _____
- b. Social Services _____
- c. Counseling or support groups _____
- d. Other _____
- e. State Victim Compensation Program _____

WITNESS ASSISTANCE RESPONSE

12. Number of witnesses receiving notification _____
13. Witness Notification: Date
- a. Introduction Letter/protection intimidation _____
 - b. Arrest or release of accused _____
 - c. Information/Indictment filed _____
 - d. Judicial pleadings scheduling changes _____
 - e. Plea Agreements _____
 - f. Trial results _____
 - g. Date sentence imposed _____
 - h. Right to release-related information from BOP _____
14. Record dates notification requests were sent to BOP for victims and witnesses requesting notification. _____

Victim Witness Letter (102)

DOCUMENT NAME: Batch - Victim Witness Letter

DOCUMENT NUMBER:

Event:

Contact Log:

Batch: 102

| WP DOC FIELD # | LIONS FIELD |
|-----------------------|--------------------------------|
| 1 | GS_PARTICIPANT.salutation |
| 2 | GS_PARTICIPANT.first_name |
| 3 | GS_PARTICIPANT.last_name |
| 4 | GS_PARTICIPANT.home_address1 |
| 5 | GS_PARTICIPANT.home_address2 |
| 6 | GS_PARTICIPANT.home_address3 |
| 7 | GS_PARTICIPANT.home_city |
| 8 | GS_PARTICIPANT.home_state |
| 9 | GS_PARTICIPANT.home_zipcode |
| 10 | GS_CASE.name |
| 11 | GS_CASE.id |
| 12 | GS_INST_TYPE.description |
| 13 | GS_INSTRUMENT.filing_date |
| 14 | GS_JUDGE.first_name, last_name |
| 15 | GS_STAFF.first_name, last_name |
| 16 | GS_DEFEND_STAT.bond_amount |
| | |
| | |
| | |

<FIELD 1> <FIELD 2> <FIELD 3>
 <FIELD 4>
 <FIELD 5?>
 <FIELD 6?>
 <FIELD 7> <FIELD 8> <FIELD 9>
 Re: <FIELD 10>
 Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

Your name was referred to our office by a federal investigator as being a victim or witness of a federal crime. This is to advise you that an <FIELD 12> against the above-named defendant was filed on <FIELD 13>. The case has been assigned to United States District Judge <FIELD 14>, and Assistant United States Attorney <FIELD 15> will prosecute the case.

The defendant has been arrested and is being held, with bail in the amount of \$<FIELD 16>, pending trial.

Currently plea negotiations are ongoing in an attempt to resolve this case without a trial. If you have any additional information you would like to share with the prosecutor at this time, please contact the prosecutor at (XXX) XXX-XXXX.

Victims of federal crimes are entitled to certain rights, including the right:

- * To be notified of significant case-related court proceedings.
- * To confer with the Government attorney.
- * To complete a victim impact statement upon conviction of a defendant, or provide information to a presentence probation officer, describing the impact of the crime and to request restitution. This information may be used by the Judge in considering the most appropriate sentence for the defendant.
- * To speak in court at sentencing on the impact of the crime, if you are the victim of a violent crime.
- * To be notified of the sentence, imprisonment, and release-related information, if there is a conviction.
- * To apply to the State Crime Victims Fund, if you are a victim of a violent crime, for such out-of-pocket expenses as medical bills, lost wages, funeral expenses, and counseling related to the impact of the crime, not covered by other programs. (The fund does not cover property loss, which may be covered by restitution, or filing a civil action.)

Our Victim/Witness Assistance Unit has been established to help you exercise your rights and assist in your recovery from any trauma or problems this crime may have caused. As the Victim/Witness Coordinator, I am available to assist you by providing information, available resources, and support for your role as a victim or witness of a federal crime.

If you wish to be notified of significant court proceedings in the above-entitled case, please complete the enclosed "**Request for Notice**" form and return it to me in the enclosed, pre-addressed envelope within 10 days. Please be aware that only the notification service is optional. If you are a subpoenaed witness, you will be required to attend any court hearings for which you receive a subpoena. If your appearance is required, you will be compensated for your time and travel expenses according to government regulations.

Please be sure to keep our office informed of any address and phone number changes and where you may be contacted both during the day and evening.

If you have any questions or concerns, please do not hesitate to contact me or the prosecutor. I can be reached at (619) 557-5527.

Very truly yours,

[NAME]
United States Attorney

[NAME]
Victim/Witness Coordinator

Enclosure: Request for Notice

TO: [NAME]
Victim/Witness Coordinator

REQUEST FOR NOTICE

Re: <FIELD 10>
Court Docket No. <FIELD 11>

Please notify me of any significant court proceedings in the above-entitled case.

NAME: (Print) _____

HOME ADDRESS: _____

BUSINESS ADDRESS: _____

TELEPHONE: (Business) _____ (Home) _____

DATE: _____ SIGNATURE: _____

Note: If notification is desired, this form should be signed
and returned within 10 days in the enclosed envelope.

<FIELD 1> <FIELD 2> <FIELD 3>
 <FIELD 4>
 <FIELD 5?>
 <FIELD 6?>
 <FIELD 7> <FIELD 8> <FIELD 9>

Re: <FIELD 10>
 Case Number: <FIELD 11>

IMPORTANT NOTICE!!!

Due to the large number of victims and witnesses involved in this case, we request that you please return this checklist if you would like to be notified of significant case events, such as trial dates/results, entry of guilty plea, providing a victim impact statement upon conviction, or sentencing dates and results. If you would like to receive notification of these significant case events, please return the completed checklist to:

NAME
 VICTIM/WITNESS COORDINATOR
 UNITED STATES ATTORNEY'S OFFICE
 ADDRESS LINE 1
 ADDRESS LINE 2
 CITY, STATE ZIP CODE

Further notifications on this case will not be mailed unless this notification request is returned to our office.

If the victim or witness is a corporation or other business entity, please include a contact person's name, as well as the corporate name.

PLEASE INDICATE THE FOLLOWING:

VICTIM _____ WITNESS _____ BUSINESS NAME: _____

PRINTED NAME (Contact Person): _____

ADDRESS: _____

PHONE NO. (Days) _____ PHONE NO. (Eves.) _____

OTHER INFORMATION YOU WOULD LIKE OUR OFFICE TO KNOW:

REQUEST FOR NOTICE AND NOTIFICATION CHECKLIST

(White Collar Crime)

TO: NAME
VICTIM/WITNESS COORDINATOR
UNITED STATES ATTORNEY'S OFFICE
ADDRESS LINE 1
ADDRESS LINE 2
CITY, STATE ZIP CODE

CASE NAME: _____

CASE NUMBER: _____

As a victim or a witness in the above-captioned federal case, I request notification of the following case events:

- _____ 1. Trial date(s)
- _____ 2. Guilty plea or trial results
- _____ 3. Sentencing dates and information regarding
Victim Impact Statement
- _____ 4. Judgment entered

(Date)

(Signature)

<FIELD 1> <FIELD 2> <FIELD 3>
<FIELD 4>
<FIELD 5?>
<FIELD 6?>
<FIELD 7> <FIELD 8> <FIELD 9>

Re: United States v. <FIELD 10>
Case #: <FIELD 11>

Dear <FIELD 1> <FIELD 3>:

Unfortunately, our records indicate that you may have been one of the victims of a fraudulent scheme perpetrated by individuals representing themselves as KEYBOARD(Enter company or representative and click CONTINUE.)

The Federal Bureau of Investigation (FBI) is investigating possible criminal activity by KEYBOARD(Enter service or product and click CONTINUE.). In an effort to assist the FBI with their investigation, we need your cooperation.

Your consideration and completion of the enclosed questionnaire will assist us in our efforts to resolve this matter. For your convenience we have included a pre-addressed postage paid envelope for the return of the questionnaire. If you are not a victim of this fraud, or have no information which you are willing to provide us, please indicate those facts on the enclosed questionnaire and return.

Following the return of the questionnaire, an agent from the FBI may contact you requesting additional information. It is only through the cooperation and assistance of concerned citizens like yourself that our criminal justice system can function successfully.

I understand this correspondence might generate questions from you, however, at this time no further information is available. When more information becomes available and a decision is made on how this case will be handled, you will be notified.

In closing, I would like to point out that at this time this matter is under investigation to determine whether or not criminal action is warranted. If you are pursuing civil remedies in this matter, or if you intend to do so, this investigation is in no way a substitute for your personal actions.

Thank you for your anticipated cooperation.

Sincerely,

[NAME]
United States Attorney

By: [NAME]
Victim-Witness Coordinator

QUESTIONNAIRE REGARDING: (Investigation involving)

- 1) YOUR NAME: _____
- 2) YOUR ADDRESS: _____

- 3) HOME TELEPHONE NUMBER: _____
- 4) BUSINESS TELEPHONE NUMBER: _____
- 5) OCCUPATION: _____
- 6) HOW DID YOU LEARN ABOUT KEYBOARD(Enter service or product and click CONTINUE.)?

- 7) IF PRINTED ADVERTISEMENT, WHICH ONE?

- 8) APPROXIMATELY WHEN DID YOU LEARN ABOUT KEYBOARD(Enter service or product and click CONTINUE.)?

- 9) APPROXIMATELY WHEN DID YOU MAKE CONTACT WITH KEYBOARD(Enter company or representative and click CONTINUE.)?

- 10) HOW DID YOU CONTACT KEYBOARD(Enter company or representative and click CONTINUE.)?

IF BY TELEPHONE, WHAT NUMBER?: _____
WITH WHOM DID YOU SPEAK?: _____
WHAT INSTRUCTIONS DID YOU RECEIVE AT THAT TIME?:

WHAT WAS YOUR UNDERSTANDING OF EXPECTATIONS FROM KEYBOARD(Enter company or representative and click CONTINUE.)? WERE ANY PROMISES OR GUARANTEES MADE? IF SO, WHAT WERE THEY?

DO YOU HAVE COPIES OF ANY WRITTEN CORRESPONDENCE WHICH YOU MADE TO KEYBOARD(Enter company or representative and click CONTINUE.)?

11) DO YOU HAVE ANY CORRESPONDENCE FROM KEYBOARD(Enter company or representative and click CONTINUE.)? IF SO, WHAT?

12) IF YOU SENT MONEY TO KEYBOARD(Enter company or representative and click CONTINUE.), IN WHAT FORM DID YOU SEND IT (e.g. PERSONAL CHECK, MONEY ORDER, CASHIER'S CHECK ETC.)?

DO YOU HAVE ANY RECEIPTS _____ IF SO, WHAT?

13) WHAT METHOD DID YOU USE TO SEND MONEY TO KEYBOARD(Enter company or representative and click CONTINUE.) (e.g., REGULAR U.S. MAIL, U.S. POSTAL SERVICE EXPRESS, FEDERAL EXPRESS, UNITED PARCEL SERVICE, OTHER)?

14) WHAT AMOUNT OF MONEY DID YOU SEND KEYBOARD(Enter company or representative and click CONTINUE.)? _____

15) DID YOU RECEIVE ANY MONIES FROM KEYBOARD(Enter company or representative and click CONTINUE.)? IF SO, HOW MUCH? _____ IF NOT, DID YOU ATTEMPT TO CONTACT KEYBOARD(Enter company or representative and click CONTINUE.)? WERE YOU SUCCESSFUL IN THIS EFFORT? _____ IF SO, HOW, WHAT WERE YOU TOLD, AND BY WHOM?

16) DID YOU KNOW WHERE KEYBOARD(Enter company or representative and click CONTINUE.) WAS LOCATED? IF SO, HOW DID YOU LEARN THIS INFORMATION?

17) ADDITIONAL _____ COMMENTS:

DATE: _____

SIGNATURE: _____

APPENDIX D - LIONS ERROR MESSAGES

| ERROR NUMBER | ERROR MESSAGE | EXPLANATION OF ERROR MESSAGE/ACTION |
|--------------|------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| LIONS-100: | At first block. | User is attempting to move to a previous block (CTRL/PgUp) and they are already at the first block in the form. |
| LIONS-101: | At first record. | User is attempting to move to a previous record (arrow up) in a multi-record or stacked block and they are already at the first record. |
| LIONS-102: | At last block. | User is attempting to move to the next block (CTRL/PgDn) and there are no more blocks in the form. |
| LIONS-104: | At last record. | User is trying to move to the next record (arrow down) in the case block when only one record has been queried. |
| LIONS-106: | Transaction Complete - Records posted and committed. | The information entered has been saved in the database. |
| LIONS-107: | WARNING - Incorrect USAOID or USAOID does not exist. | Used in FRC Storage form or at the related case block in the Civil and Criminal Open Long forms. A user is adding a USAOID that does not exist in LIONS. The USAOID can be added. |
| LIONS-108: | Performing Name Search. | This message is displayed when the automatic name search feature has been turned on for a user, and a new Participant name has been entered. |
| LIONS-109: | WARNING - Incorrect DCMNS Number. | DCMNS Number entered does not comply with the formula used to create DCMNS numbers. Verify the DCMNS number. |
| LIONS-110: | Search found matching name(s). Press <F9> to view. | This message is displayed when the automatic name search feature has been turned on for a user and a Participant's name has been found during the search. |
| LIONS-112: | No records found. | Message is displayed when a user tries to query records and the query resulted in no records. Re-enter your query. |
| LIONS-113: | Charge(s) and count(s) have been deleted. | In the Criminal Open Long form, user has changed the Court from DC, MG, PD, or PM to an NC or PN Court code. This message is advising the user that the charges and counts that were associated with the original Court were deleted. |

| ERROR NUMBER | ERROR MESSAGE | EXPLANATION OF ERROR MESSAGE/ACTION |
|---------------------|------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| LIONS-116: | WARNING - This table should only be changed with EOUSA's permission. | Warning message to System Managers that the Global look-up table they have opened can only be modified with permission from the EOUSA. |
| LIONS-117: | More than one Office found. Press <F9> to select the correct one. | This message alerts the user to the fact that there are multiple offices for the Agency entered, and requires the user to select the appropriate one from a List of Values. |
| LIONS-118: | More than one Requested record found. | The user is attempting to add a civil Requested Relief record for an Agency/Participant combination that already exists. Delete the duplicate record. |
| LIONS-119: | Search found no matching name(s). | This message is displayed when the automatic name search feature has been turned on and the current Participant has not been found in the database. |
| LIONS-120: | Records Archived - Transaction Complete. | Matters/Cases selected for archiving have been removed from the database and stored in the archive data base. |
| LIONS-121: | Database Roles/Grants Processing Completed. | Informational message for the System Manager that processing of the Database Roles and Grants for a new function profile has been completed. |
| LIONS-122: | WARNING - Staff Group(s) has been deleted. | Verification that the requested deletion of one or more Staff Groups has been accomplished. |
| LIONS-124: | WARNING - This ORACLE user already exists. Will use the same Password. | System Manager message is attempting to add a user who already has an Oracle Username and Password. |
| LIONS-200: | ERROR - Sequence could not be retrieved. Notify System Manager. | The user is attempting to add a new record and the record ID cannot be retrieved from the database. Notify your System Manager. Either your Oracle server is down or your PC is not communicating properly with the server. |
| LIONS-201: | ERROR - Duplicate value in look-up table. Notify System Manager. | This error will occur when there are duplicate values in a look-up table; e.g., Judge when they are not allowed. Record the Initials or Code you are trying to add and provide the information to the System Manager for correction. |
| LIONS-202: | ERROR - Duplicate value in table. Notify System Manager. | This error indicates that there are duplicate records in the database. Record the USAOID, and the type of record you were trying to enter and provide this information to your System Manager for correction. |
| LIONS-203: | ERROR - Form Failure!!! Notify System Manager. | This error indicates that a LIONS form has failed. Report the form name (located in the brackets at the top of the form) to your System Manager. |

| ERROR NUMBER | ERROR MESSAGE | EXPLANATION OF ERROR MESSAGE/ACTION |
|---------------------|------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| LIONS-204: | ERROR - Global variable not defined. Notify System Manager. | This error indicates a problem with a LIONS form. Report the form name (located in the brackets at the top of the form) to your System Manager. |
| LIONS-205: | ERROR - Max id not defined. Notify System Manager. | This error indicates a problem with a LIONS form. Report the form name (located in the brackets at the top of the form) to your System Manager and report the block name where you were trying to enter data. The block label is located in the upper left-hand corner of the block. |
| LIONS-206: | ERROR - More than one row in SYS.DUAL. Notify System Manager. | This error indicates a problem with a LIONS form. Report the form name (located in the brackets at the top of the form) to your System Manager. |
| LIONS-207: | ERROR - Unable to call <FORM NAME>. Notify System Manager. | This error may occur when you are going from one form to another with the GoTo icon or the F3 function key. The form you are going to cannot be called. The problem may be that the user has too many forms or other applications open at the same time and there is not enough memory available to open another LIONS form. Record the form you are in (e.g., Court History) and the form you are trying to GoTo (e.g., Participant) and provide this information to your System Manager. |
| LIONS-209: | ERROR - No row in table SYS.DUAL. Notify System Manager. | This error indicates a problem with a LIONS form. Report the form name (located in the brackets at the top of the form) to your System Manager. |
| LIONS-210: | ERROR - This user does not belong to any Staff Group. Notify System Manager. | User is attempting to restrict access to a case to a predefined Group of users but the user is not a member of any group. A user cannot restrict the case unless they are a member of a group. |
| LIONS-211: | ERROR - Unknown parameter in PCK_CHECK. Notify System Manager. | An incorrect parameter was passed to the procedure to check for user access privileges. Report the error to your System Manager. |
| LIONS-300: | ERROR - A Court Number must be entered if a Filing Date exists. | When a Court code other than NC or PN is entered a Court number is required. |
| LIONS-301: | ERROR - Amount must be entered. | This error will occur in any amount field when it is required. (E.g., Relief Amount when type is M or B; Restitution Amount, etc.) |
| LIONS-303: | ERROR - An Instrument Type must be entered if Court is DC, MG, PD, OR PM. | User is attempting to leave the Instrument block without entering a Instrument when the Court is DC, MG, PD, or PM. |

| ERROR NUMBER | ERROR MESSAGE | EXPLANATION OF ERROR MESSAGE/ACTION |
|---------------------|-------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| LIONS-304: | ERROR - At least one Client Agency must be entered. | User is attempting to leave the Agency block without entering a Client Agency. |
| LIONS-305: | ERROR - At least one Individual, Business, or Property must be entered. | User is attempting to leave the Participant block without entering an individual, business, or a piece of property. |
| LIONS-308: | ERROR - Lead AUSA must be entered. | User is attempting to leave the Assignment block without entering a Lead AUSA. |
| LIONS-309: | ERROR - Court must be NC or PN when Filing Date is missing. | User is attempting to leave the Court History block without entering a Filing Date that is required. |
| LIONS-311: | ERROR - Court Number must be entered for this Court Code. | User is attempting to leave the Court History block without entering a Court Number. Court Numbers are required for all Courts except NC and PN. |
| LIONS-312: | ERROR - Service Date must be >= Filing Date. | User must enter a Service Date later or equal to the Court Filing Date or change the Filing Date, accordingly. |
| LIONS-313: | ERROR - Date cannot be later than today's date. | User must enter a date earlier than or equal to today's date. |
| LIONS-314: | ERROR - Date fields cannot be entered if Court is NC or PN. | User is attempting to add a Court Filing Date without entering a Court code. |
| LIONS-315: | ERROR - Date format is DD-MON-YYYY. Please re-enter. | User is attempting to enter a date using an invalid format. All dates must be entered with two digit day, three character month, and four digit year (i.e., 01-JAN-1997.) |
| LIONS-316: | ERROR - Division must be entered for this Litigation Responsibility. | If the Litigating Responsibility is DJ, RD, or SD, a DOJ Division and Division Number must be entered. |
| LIONS-317: | ERROR - DOJ Division is required when DOJ Number is filled in. | Users may not enter a DOJ Number without entering a DOJ Division. Delete the DOJ Number or enter a DOJ Division. |
| LIONS-318: | ERROR - Div code ZNTF must be entered for this Prog Cat. | Program Categories 047, 05A and 05B are OCDETF cases and require that a DOJ Division of ZNTF be entered. |
| LIONS-319: | ERROR - Arrest Date should be >= Offense From Date. | User is attempting to enter an Arrest Date that is earlier than the Offense From Date. Enter a valid Arrest Date or modify the Offense From Date. |

| ERROR NUMBER | ERROR MESSAGE | EXPLANATION OF ERROR MESSAGE/ACTION |
|---------------------|------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| LIONS-320: | ERROR - DOJ Number must begin with TX if Division is TAXD. | User is attempting to enter a DOJ Number for the Tax Division that does not begin with TX. All Tax Division numbers begin with TX. Verify and enter the correct DOJ Number. |
| LIONS-321: | ERROR - Duplicate entry not allowed. | User is attempting to enter a value in a local table that is already present. |
| LIONS-322: | ERROR - "End Date" can not be entered without "Start Date". | User is attempting to enter an End Date and the Start Date is blank. First enter the Start Date and then re-enter the End Date. |
| LIONS-323: | ERROR - "End Date" must be >= "Start Date". | User is attempting to enter an End Date that is earlier than or equal to the Start Date. Enter an End Date that is later than the Start Date. |
| LIONS-324: | ERROR - Filing Date or Service Date must be entered for this Court. | In civil actions when the Court is other than NC or PN, a Filing and/or Service Date is required. User is attempting to leave the Court block without entering a Filing or Service Date. |
| LIONS-325: | ERROR - Sentence Date must be >= Disposition Date. | User is attempting to enter a Sentence Date that is earlier than the Court Disposition Date. Enter a Sentence Date that is later than the Disposition Date or correct the Disposition Date. |
| LIONS-326: | ERROR - Incorrect look-up code. Press <F9> for a list of values. | User is attempting to enter an invalid code. Use the List of Values to find a valid code. |
| LIONS-327: | ERROR - Date cannot be greater than Received Date. | The particular date the user is entering cannot be later than the Received Date. Enter a valid date or change the Received Date which is appropriate. |
| LIONS-329: | ERROR - Caption must be entered. | User is attempting to leave the Caption block when adding a new case without entering a Case Caption. Enter the Caption which is required. |
| LIONS-331: | ERROR - Event Date or Date Scheduled must be entered. | User is attempting to exit the Event block without entering an Event or Scheduled date. User must enter either an Event Date that is earlier than or equal to the current date or a Schedule Date that is later than the current date. |
| LIONS-332: | ERROR - Offense "To Date" cannot be less than Offense "From Date". | User is attempting to enter an Offense To Date that is earlier than the Offense From Date. Enter an Offense To Date that is later than the Offense From Date. |
| LIONS-334: | ERROR - Only one Lead AUSA can be assigned to a Court Stage at a time. | User is attempting to assign more than one Lead AUSA to a Court stage. Additional AUSAs may be assigned other position (i.e., co-counsel, asset forfeiture attorney, etc.). |

| ERROR NUMBER | ERROR MESSAGE | EXPLANATION OF ERROR MESSAGE/ACTION |
|---------------------|-------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| LIONS-335 | ERROR - Only one current Victim/Witness Coordinator can be assigned to a Court Stage at a time. | |
| LIONS-336 | ERROR - A current Lead AUSA must be assigned. | |
| LIONS-337 | ERROR - A Victim/Witness Coordinator must be assigned. | |
| LIONS-339: | ERROR - These INITIALS already exist, please pick another. | User is attempting to enter initials in a picklist, (i.e., judge, expert, etc.) that already exist. Use a different set of initials to identify the individual. |
| LIONS-340: | ERROR - This field is mandatory. Please enter. | User is attempting to leave a mandatory field blank. |
| LIONS-341: | ERROR - This USERNAME already exists, please pick another. | System Manger Message. When adding a new user, the System Manager is using a Username that already exists. |
| LIONS-343: | ERROR - A Filing Date must be entered for this Court Code. | A Filing date is required for Court types of DC, MG, and PD. |
| LIONS-349: | ERROR - Disposition Reason and Disposition must either be entered or blank. | User must enter both a Disposition Reason and Disposition Code or neither. |
| LIONS-350: | ERROR - Property cannot have a role as (VI)ctim. | User is attempting to designate a Participant Type of P (Property) with a Role of VI (Victim). This is an invalid combination. Change Participant Type to I (Individual) or B (Business). |
| LIONS-353: | ERROR - This Instrument Type is invalid for the Court entered. | User is attempting to enter an invalid combination of Court type and Instrument type. |
| LIONS-354: | ERROR - An Instrument Type must be entered for Court DC, MG, PD, or PM. | User is attempting to exit the Court block without entering an Instrument. When Court is DC, MG, PD, or PM, an Instrument must be entered. |
| LIONS-356: | ERROR - DCMNS is mandatory when Filing or Service Date > 01-OCT-93. | User is attempting to close a case without a DCMNS number. All cases opened after October 1, 1993 must have a DCMNS number before they can be closed in LIONS. |

| ERROR NUMBER | ERROR MESSAGE | EXPLANATION OF ERROR MESSAGE/ACTION |
|---------------------|-----------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| LIONS-357: | ERROR - Date must be >= today's date. | User is attempting to enter a date that is earlier than the current date. Enter a date that is later than or equal to the current date. |
| LIONS-358: | ERROR - Instrument filing date must be >= earliest Court filing date. | The Filing Date of Charging Instruments must be later than or equal to the Court Filing Date. Enter a valid date. |
| LIONS-359: | ERROR - Bond Type must be entered when Type is BO. | User is attempting leave the Bond Type field blank. A Bond Type must be entered when Defendant Status is BO(Bond). |
| LIONS-360: | ERROR - Date must be <= today's date. | User is attempting to enter a date that is later than or equal to the current date. Enter date that is earlier than the current date. |
| LIONS-362: | ERROR - Disposition Date must be entered. | User has entered a Disposition code and is attempting to leave the block without entering a Disposition Date. Enter a Disposition Date. |
| LIONS-363: | ERROR - This field is mandatory. Press <F9> for a list of values. | User is attempting to leave a mandatory field blank. Press F9 and select a value from the List of Values. |
| LIONS-364: | ERROR - Must select name from a List of Values <F9>. | User is attempting to type a name in a field that can only be filled by selecting a name from the List of Values. Press F9 and selected a name. |
| LIONS-367: | ERROR - At least one Investigative Agency must be entered. | User is attempting to leave the Agency block without entering an Investigative Agency. Enter (or select from the list of values) an Investigative Agency. |
| LIONS-369: | ERROR - At least one Defendant or Plaintiff must be entered. | In Civil Actions, user is attempting to leave the Participant block without entering an Defendant or Plaintiff. Enter at least one Defendant or Plaintiff Participant. |
| LIONS-370: | ERROR - At least one Defendant must be entered. | In Criminal Actions, user is attempting to leave the Participant block without entering a Defendant. Enter at least one Defendant Participant. |
| LIONS-371: | ERROR - Granted or Denied cannot be entered w/o a Requested/Ordered record. | User is attempting to enter a Relief Granted or Denied record without a corresponding Relief Requested record and an Ordered record with the same Agency/Participant combination. |
| LIONS-372: | ERROR - These initials are inactive. Please pick another. | User is attempting to use a set of initials that have been designated as inactive. If appropriate, contact your System Manager to activate the initials or enter another set of initials. |

| ERROR NUMBER | ERROR MESSAGE | EXPLANATION OF ERROR MESSAGE/ACTION |
|---------------------|--------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| LIONS-373: | ERROR - Date cannot be < 1st Court Filing Date or > today's date. | The filing date of charging instruments must be later than or equal to the Court filing date. Enter a valid date. |
| LIONS-374: | ERROR - Reason is required when Related Participant Name is filled in. | User is attempting to leave the Related Participant block without entering a Reason code for the relationship. Enter a valid reason code or select a code from the List of Values. |
| LIONS-375: | ERROR - Reason must be blank if Related Participant Name is blank. | User is attempting to enter a Reason code when no Participant has been selected. Press F9 and selected a Participant and then enter the Reason code. |
| LIONS-376: | ERROR - Must assign all counts of <Instrument Type> to at least one defendant. | User is attempting to leave the Defendant/Count block without assigning one or more of the counts in the Instrument (i.e., Indictment) to one or more Defendants. All counts must be assigned to one or more of the defendants. |
| LIONS-377: | ERROR - Incorrect response. Please enter a (Y)es or (N)o. | (Yes) or (No) are the only acceptable responses to the delete warning message. |
| LIONS-382: | ERROR - Incorrect look-up code. | User has entered an invalid code. Use the List of Values to ascertain a valid code. |
| LIONS-383: | ERROR - These Initials already exist, please re-enter. | User is attempting to enter a set of initials (i.e., judge, expert) that are already in use. Use a different set of initials. |
| LIONS-384: | ERROR - This field must be entered. | User is attempting to leave a mandatory field blank. |
| LIONS-385: | ERROR - Status can only be changed from Closed to Re-open. | User is attempting to change the Case Status from Closed to Active. If the case must be re-opened, then change the Status to R. |
| LIONS-386: | ERROR - Date Received must be >= Date Requested. | User is attempting to enter a date in the FRC Received Date field that is after the date a file was requested from the FRC. Enter a valid date or change the Received Date. |
| LIONS-387: | ERROR - Date Returned must be >= Date Received. | User is attempting to enter a date in the FRC Returned Date field that is earlier than the date a file was received from the FRC. Enter a valid date or change the Returned Date. |
| LIONS-388: | ERROR - Date Requested must be <= Date Received. | User is attempting to enter a date in the FRC Requested Date field that is later than the date a file was received from the FRC. Enter a valid date or change the Requested Date. |

| ERROR NUMBER | ERROR MESSAGE | EXPLANATION OF ERROR MESSAGE/ACTION |
|---------------------|-----------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| LIONS-389: | ERROR - Date Received must be <= Date Returned. | User is attempting to enter a date in the FRC Received Date field that is later than the date a file was returned to the FRC. |
| LIONS-390: | ERROR - Disposition Date must be >= Storage Date. | User is attempting to enter a Disposition Date (in the Evidence block) that is later than the Stored Date. Evidence is disposed of (returned to the investigative Agency) after it has been stored by the USAO. |
| LIONS-391: | ERROR - Storage Date must be <= Disposition Date. | User is attempting to enter a storage date (in the Evidence block) that is later than the Disposition Date. Evidence is disposed of (returned to the Investigative Agency) after it has been stored by the USAO. |
| LIONS-392: | ERROR - Incorrect Category. Valid options are F, M and P. | An incorrect Charge Category has been entered. Enter a valid code. |
| LIONS-393: | ERROR - Agency cannot have a role as (VI)ctim. | Victim Agency code is VA. Enter the valid code. |
| LIONS-394: | ERROR - Description must be entered for this Type. | User has added a Controlled Substance with a Type of O (Other). A description of the drug must be entered. |
| LIONS-395: | ERROR - CATS id should be in the format CYY-CCCC-NNNNNN. | User has not used the proper format for a CATS id. Enter the id correctly. |
| LIONS-396: | ERROR - Destruction Date must be >= Date Sent. | User is attempting to enter a Destruction Date that is earlier than the date sent to the Federal Records Center. Destruction Date must be later than the date sent to the FRC. |
| LIONS-397: | ERROR - Disposition must be entered. | User is attempting to enter a Disposition Date or Disposition Reason without a Disposition. Enter a Disposition code. |
| LIONS-398: | ERROR - Disposition Reason must be entered. | User is attempting to enter a Disposition or Disposition Date without entering a Disposition Reason. Enter a Disposition Reason. |
| LIONS-399: | ERROR - Start Date should be >= Received Date. | User is attempting to enter a Start Date for the AUSA earlier than the date a matter or case was received in your office. Enter a new Start Date or change the Received Date appropriately. |
| LIONS-402: | ERROR - Delete not allowed in this block. | User is attempting to delete a record in a block where the delete function is not allowed. |

| ERROR NUMBER | ERROR MESSAGE | EXPLANATION OF ERROR MESSAGE/ACTION |
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| LIONS-403: | ERROR - Delete not allowed in this screen. | User is attempting to delete a record which is not allowed. |
| LIONS-405: | ERROR - Insufficient privileges - Screen not accessible. | User is a type of 'U' and does not have privileges in the User Administration Screen. Contact your System Manager for assistance. |
| LIONS-406: | ERROR - Cannot Delete Agency Office While Attached to a Case. | User is attempting to delete an Agency Office from the picklist that is being used in a matter/case. |
| LIONS-408: | ERROR - Cannot insert <CHILD BLOCK> without querying <PARENT BLOCK>. | In a form with a parent/child relationship; e.g., Court History, the child records (Participant/Court) cannot be inserted before the parent record (Court History) is queried. Query the parent record and then enter the child records. |
| LIONS-409: | ERROR - Cannot insert <CHILD BLOCK> without entering <PARENT BLOCK>. | In a form with a parent/child relationship; e.g., Court History, the child records (Participant/Court) cannot be entered before the parent record (Court History) is entered. Enter the parent record and then enter the child records. |
| LIONS-410: | ERROR - Insert not allowed in this block. | User is attempting to insert a record in a block where this function is not allowed. |
| LIONS-411: | ERROR - Insert not allowed in this screen. | In the Participant form, the user is trying to insert a Court record at the Court block that pops-up after a new Participant is entered. Courts cannot be entered in this block. |
| LIONS-412: | ERROR - Key not valid in this context. | User is using a function key when it is not allowed. |
| LIONS-416: | ERROR - Please query a record before going to the next block. | User is attempting to move to the second block in one of the search forms without entering search criteria. Enter the search criteria first. |
| LIONS-420: | ERROR - Update not allowed in this block. | User cannot update information in the block where the cursor is. This error may occur in Read Only blocks of data. Move to a block of information where update is allowed. |
| LIONS-421: | ERROR - Update not allowed in this screen. | In the FRC Inquiry screen, user is attempting to update information. To update information found in this screen, go to the FRC Storage form. |
| LIONS-423: | ERROR - Disposition Date, Disposition & Reason must all be entered or must all be blank. | User is attempting to close a count without entering all 3 values: Disposition, Disposition Date, Disposition Reason. |

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| LIONS-501: | ERROR - Only one NC Court permitted. Press <F9> for a list of values. | Only one NC (Not in Court) Court entry is permitted per case. Enter another Court code. |
| LIONS-502: | ERROR - Date should be >= Received Date. | LIONS edits require some dates to be later than or equal to the LIONS Received Date. Enter a correct date or change the Received Date. |
| LIONS-504: | ERROR - Duplicate value. Press <F9> for a list of values. | In the Criminal Immediate form, user is attempting to enter a duplicate case Disposition Reason. Enter unique Disposition Reasons. |
| LIONS-506: | ERROR - Must use <F9> for a list of values. | In the Appeal form, user is attempting to add a Participant Court record without selecting the Participant off the List of Values. Use F9 to get a valid list of Participants who can be associated with the appeal. |
| LIONS-507: | ERROR - All Counts must be assigned to at least one defendant. | User is attempting to leave the Defendant/Count block without assigning one or more of the counts in the Instrument (i.e., Indictment) to one or more Defendants. Each count must be assigned to one or more of the Defendants. |
| LIONS-509: | ERROR - Invalid number. Re-enter a number or a range of numbers. | User is adding box number in the FRC Storage form in the wrong format. Re-enter the number in the proper format 9999 or 9999-9999. |
| LIONS-510: | ERROR - Ending range must be > beginning range. | User is attempting to enter an ending date for the range that is earlier than the beginning date. Enter a valid date range. |
| LIONS-511: | ERROR - Social Security number must be in format 999-99-9999. | LIONS requires that social security numbers be entered in the proper format. User is attempting to enter a number in an improper format. |
| LIONS-512: | ERROR - Format must be 9999 or 9999-9999. Please re-enter. | The FRC box numbers must be entered in the format of 9999 or 9999-9999. Enter the number correctly, use leading zeros if necessary. |
| LIONS-513: | ERROR - At least one Requested record must be entered. | User is attempting to leave the Relief block without entering a Relief Requested record. At least one Relief Requested record is required. |
| LIONS-514: | ERROR - Immigration Status is blank. Country cannot be entered. | A Country code cannot be entered for an individual Participant if the Immigration Status field is blank. If you wish to enter this field, then first fill the Immigration Status field. |
| LIONS-515: | ERROR - Must enter a Participant for this Court. | User is attempting to exit the Court History form without attaching a Participant to a new Court. At least one Participant must be attached to every Court. |

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| LIONS-516: | ERROR - Format must be 9999(R or V)99999. Please re-enter. | The USAOID has been entered incorrectly. Re-enter the USAOID (i.e., 1997R00015) |
| LIONS-517: | ERROR - Total number of boxes must be entered. | User is attempting to exit the FRC block without entering the total number of boxes included in the accession. |
| LIONS-518: | ERROR - Cannot relate a Case to itself. Please re-enter. | User is trying to relate a case to itself. Cases can only be related to other cases. Re-enter the USAOID. |
| LIONS-519: | ERROR - The format of the agency number must be 99999-XX-99999999 for agency code JUFB | For agency code JUFB, the input contains up to five digits followed by a dash followed by a two character state code followed by up to eight digits. |
| LIONS-520: | ERROR - Cannot delete; look-up code exists in master table. | User is attempting to delete a look-up code that is being used in a case. This is not allowed. |
| LIONS-521: | ERROR - DCMNS Number must be in the format YY-NNNNNN-N. | The incorrect format for a DCMNS Number has been entered. Re-enter the number correctly. |
| LIONS-522: | ERROR - This table contains local USAO look-up values. | Information message alerting user that this table is controlled locally by the USAO rather than by the EOUSA. |
| LIONS-523: | ERROR - A Requested record already exists for this Participant. | Only one Relief Requested record for an Agency/Participant combination can be entered. User is attempting to enter more than one. Delete the record you are trying to add and verify the other record is accurate. |
| LIONS-524: | ERROR - A Granted or Denied already exists for this Participant. | Only one granted or denied relief record per Agency/Participant combination can be entered. User is attempting to enter more than one. Delete record you are attempting to add and verify the previous record is accurate. |
| LIONS-525: | ERROR - NOAP Date must be <= Docket Date. | The Notice of Appeal Date must always be earlier than or equal to the Docket Date. |
| LIONS-526: | ERROR - Either NOAP or Docket Date must be entered. | A Notice of Appeal Date or docket date is required when an appeal is opened. Enter either or both of these dates. |
| LIONS-527: | ERROR - Docket Date must be >= NOAP Date. | LIONS edits require that the appeal Docket Date be later than or equal to Notice of Appeal Date. Enter a correct Docket Date or change the NOAP Date appropriately. |

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| LIONS-528: | ERROR - Disposition Date must be >= Docket Date. | User is attempting to enter an Appeal Disposition Date that is earlier than the Appeal Docket Date. |
| LIONS-529: | ERROR - Disposition Date must be >= NOAP Date. | User is attempting to enter an Appeal Disposition Date that is earlier than the Notice of Appeal Date. Enter a correct date or change the Docket Date appropriately. |
| LIONS-530: | ERROR - This field is mandatory if Disposition Date is entered. | User has entered a Disposition Date without a Disposition. Enter a Disposition code. This disposition of an appeal should always occur after the date a Notice of Appeal is filed. |
| LIONS-531: | ERROR - This field must be blank if Disposition Date is blank. | User is trying to leave a block where both a Disposition and Disposition Date are required. Enter the appropriate information or delete that which is not valid. |
| LIONS-532: | ERROR - Must be "X" or blank. | User has entered an invalid character in a field where only an X can be entered. Change your character to X or leave the field blank. |
| LIONS-533: | ERROR - This field must be blank if Disposition is blank. | A Disposition Reason code cannot be entered without a Disposition code. Either enter a valid Disposition code or delete the Disposition Reason code. |
| LIONS-534: | ERROR - Agency number must be entered | Agency number is required. |
| LIONS-535: | ERROR - Granted or Denied record must be deleted first (before Ordered). | Before a Relief Requested record and/or the Ordered record that is associated with a Relief Granted or Denied record can be deleted, the associated Granted or Denied record must be deleted. |
| LIONS-537: | ERROR - Court Number does not exist for the Related Case. | This message will appear if a case is related to a matter where there is no Court number. It could also occur if a case is related to a matter/case that is not in the LIONS database. Information only - no correction needed. |
| LIONS-538: | ERROR - More than one Case found. <F9> to select a correct one. | Information message that more than one case was found during a query. User your List of Values F9 to select the case you want. |
| LIONS-539: | ERROR - Related USAOID or Court Number must be entered. | User is trying to relate a case to another case without entering a valid USAOID. Enter the USAOID. |
| LIONS-540: | ERROR - Termination Reason is required when End Date is entered. | A Termination Reason is required when a Defendant Status End Date is entered. Enter the Termination Reason. |

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| LIONS-541: | ERROR - End Date is required when Termination Reason is entered. | A Defendant Status End Date is required when a Termination Reason has been entered. Enter the End Date. |
| LIONS-542: | ERROR - Press <F7> to query an Agency. | Advises the user that before an Agency Office can be inserted, updated or deleted, the Agency must be queried using the F7 key. |
| LIONS-543: | ERROR - USAOID does not exist. Please re-enter. | The USAOID entered does not exist in LIONS. Enter the correct USAOID. |
| LIONS-544: | ERROR - Court 'NC' can only be Added when no other Court records exist. | User is attempting to enter a NC Court where there is already an existing Court; e.g., DC, MG. NC (Not in Court) can only be entered as the first Court. |
| LIONS-545: | ERROR - Filing Date is required on all Criminal cases. | User has not entered a Filing Date for a Court which requires one; e.g, DC. |
| LIONS-546: | ERROR - Date must be >= the Received date of <CASE.RECVD_DATE>. | Some dates in LIONS must be later than or equal to the LIONS Received Date. Enter a correct date or change the LIONS Received Date, whichever is appropriate. |
| LIONS-547: | ERROR - Filing date must be >= earliest Filing Date: <FILING DATE>. | LIONS requires that the filing date for charging instruments must be later than or equal to the earliest filing date for all Courts other than NC or PN. Enter a correct Filing Date. |
| LIONS-548: | ERROR - Must be (F)elony, (M)isdemeanor, or (P)etty Offense. | User is attempting to enter a Charge Category other than F,M or P. Enter the appropriate Category for the Charge. |
| LIONS-549: | ERROR - This field is required if Disposition is entered. | A Disposition cannot be entered without a date. In criminal cases, a Disposition Reason is also required. Enter the appropriate information. |
| LIONS-550: | ERROR - Invalid Disposition Reason, Press <F9> for a List of Values. | User is attempting to enter an invalid Disposition Reason code. Press F9 to get a list of valid Disposition Reasons. |
| LIONS-551: | ERROR - Invalid Disposition, Press <F9> for a List of Values. | User is attempting to enter an invalid Disposition code. Press F9 to get a list of valid Disposition codes. |
| LIONS-553: | ERROR - Format must be 9999. Please re-enter. | An incorrect format has been used to enter the Total Number of Boxes for an FRC Accession. Re-enter the number in the correct format 9999. |

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| LIONS-554: | ERROR - Invalid number. Re-enter a number. | User has used a character rather than a number while adding the Total Number of Boxes for an FRC Accession. Re-enter the number in the correct format 9999. |
| LIONS-555: | ERROR - USAOID, Caption or FRC must be entered. | User has tried to query information in the FRC inquiry form without first entering a valid USAOID, Caption or FRC Number. |
| LIONS-556: | ERROR - Start Date must be entered. | A Start Date is required for the type of record the user is entering. Enter the Start Date. |
| LIONS-557: | ERROR - End Date must be entered. | An End Date is required for the type of record the user is entering. Enter the End Date. |
| LIONS-559: | ERROR - Old Staff must be entered. | User is trying to reassign cases through the reassignment form, without entering the old Staff Initials where it is required. Enter the Staff Initials of the AUSA whose cases are being reassigned. |
| LIONS-560: | ERROR - New Staff must be entered. | User is trying to reassign cases through the reassignment form, without entering the initials of the Staff to whom cases are being reassigned. Enter the Staff Initials of the AUSA to whom cases are being reassigned. |
| LIONS-561: | ERROR - Old Judge must be entered. | User is trying to reassign cases through the reassignment form, without entering the old Judge Initials where it is required. Enter the initials of the Judge whose cases are being reassigned. |
| LIONS-562: | ERROR - New Judge must be entered. | User is trying to reassign cases through the reassignment form, without entering the initials of the Judge to whom cases are being reassigned. Enter the initials of the Judge to whom cases are being reassigned. |
| LIONS-563: | ERROR - No Staff Member can have more than one active assignment. | User is attempting to assign a Staff to a Court stage when the Staff is already assigned. Make sure you are entering the correct Staff Initials. |
| LIONS-564: | ERROR - No Opposing Counsel can have more than one active assignment. | User is attempting to assign an Opposing Counsel when one has already been entered for the Defendant. |
| LIONS-565: | ERROR - Order by Category must be entered. | User is attempting to reassign cases without entering a Category by which cases can be sorted. Enter an X in the appropriate Category box. |
| LIONS-567: | ERROR - Cannot delete; staff id exists in master table. | System Manger is trying to delete a LIONS user who has been assigned to cases. This is not permitted. |

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| LIONS-568: | ERROR - Must delete Staff information before entering Judge. | User is trying to reassign cases from one Judge to another, through the reassignment form, and Staff Initials have been entered. Delete the Staff Initials and enter the appropriate Judge Initials. |
| LIONS-569: | ERROR - Must delete Judge information before entering Staff. | User is trying to reassign cases from one Staff to another, through the reassignment form, and the Judge Initials are entered. Delete the Judge Initials and re-enter Staff Initials. |
| LIONS-570: | ERROR - Must enter Staff or Judge information. | In order to reassign cases through the reassignment form, Staff or Judge Initials must be entered. |
| LIONS-571: | ERROR - Only one Order By Category may be chosen. | User has checked more than one order by box to sort cases in the reassignment form. Only one box can be checked. |
| LIONS-572: | ERROR - DOJ Div Code not valid with the selected Program Category. Press <F9> for a List of Values. | LIONS requires a ZNTF DOJ Division code for criminal cases with a Program Category of 047, 05A, 05B. Change your DOJ Division code to ZNTF. |
| LIONS-573: | ERROR - Enter any combination of values from the list. | System Managers will receive this message when they are entering look-up codes that require a type; e.g., Events. Any combination of types is valid; e.g., VRA. |
| LIONS-574: | ERROR - Reached maximum allowable number for types. | System Manager will received this message if they have entered all the values they can for a type. |
| LIONS-575: | ERROR - Participant Name is mandatory. Please enter. | User is attempting to enter an individual Participant without entering a name. The Participant's name must be entered. |
| LIONS-576: | ERROR - No Attorney can have more than one active assignment. | User is attempting to enter an active assignment for an AUSA who already has an active assignment. Close current assignment with an End Date to inactive, and then enter the new assignment record if appropriate. |
| LIONS-577: | ERROR - Must enter Instrument Charge. | At least one Charge must be entered for an Instrument. Enter the appropriate Charge information. |
| LIONS-578: | ERROR - Must enter Charge Category. | A Charge Category must be entered for each Charge that is entered. Enter the appropriate Category for the Charge. |
| LIONS-579: | ERROR - Must enter count(s) for this Charge. | At least one Count must be entered for a Charge. Enter the Count number(s) in which this Charge is named. |

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| LIONS-580: | ERROR - FRC # does not exist. Please re-enter. | User has tried to perform a query through the FRC Inquiry form using an FRC# and the number that they entered is not valid. Enter the appropriate number. |
| LIONS-581: | ERROR - ZNTF not a valid code for this Program Category. | ZNTF DOJ Division code is only valid with a Program Category of 047, 05A and 05B. Enter another DOJ Division code or change your Program Category. |
| LIONS-582: | ERROR - Participant Type is mandatory. Please enter. | User is trying to tab or enter past the Participant Type field without entering it. This field is mandatory. Enter the Type. |
| LIONS-583: | ERROR - Participant Role is mandatory. Please enter. | User is trying to tab or enter past the Participant Role field without entering it. This field is mandatory. Enter the Role. |
| LIONS-584: | ERROR - Participant Name is mandatory. Please enter. | User is trying to tab or enter past the Participant Last Name field without entering it. This field is mandatory. Enter the Last Name. |
| LIONS-585: | ERROR - Must assign at least one Charge to an Instrument. | At least one charge must be entered for an instrument. Enter the appropriate charge information. |
| LIONS-586: | ERROR - Cannot order by Position for Judge. | User has checked the Position box in the Order by Category. This is not valid for Judges. Enter one of the other Categories. |
| LIONS-587: | ERROR - Invalid Role for this Court Type. | User has entered an invalid Participant Role for the type of Court entered. Re-enter the Role by using the List of Values (F9) to determine which Roles are valid. |
| LIONS-588: | ERROR - Comment cannot be entered if Date Notice of Three Strikes Withdrawn is not entered. | LIONS edits do not allow the entry of a Comment without a Notice of Three Strikes Withdrawn Date. Delete the Comment or enter the date. |
| LIONS-589: | ERROR - Job Position must be entered for individual(s) with role like D% when Program Category is 036. | In criminal cases with a Program Category of 036, entry of a Job Position is required for all Defendants. Enter the appropriate Job Position for this Defendant. |
| LIONS-590: | ERROR - Marshall Number must be in the following format 99999-999. | LIONS has an edit for the Marshall number. Enter the number in the appropriate format. |
| LIONS-591: | ERROR - Opposing Counsel Initials must be entered before Opposing Type and Start Date. | If an Opposing Counsel type or Start Date is entered, the Opposing Counsel Initials are required. |

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| LIONS-592: | ERROR - Press <F7> to query a Case. | The form is in 'insert' mode. In order to query information in the form, you must use the F7 key first, enter the value you which to query; e.g., USAOID, then press F8. |
| LIONS-593: | ERROR - Sentence Date must be >= Disposition Date. | User is attempting to enter a Sentence Date that is earlier than the Disposition Date. |
| LIONS-594: | ERROR - Disposition Date cannot be greater than Sentence Date. | User is attempting to enter a Disposition Date that is later than the Sentence Date. |
| LIONS-595: | ERROR - Date must be >= Received Date and <= today's date. | The date user is trying to enter does not conform to LIONS edits. Enter the date correctly. |
| LIONS-596: | ERROR - Marshal number must be entered for guilty defendants when victim/witness flag is set! | When the victim/witness flag has been set (equals 'Y'), marshal number must be entered for guilty defendants. |
| LIONS-597: | ERROR - Court must be CA or SC for this US Role. | User has entered a US Role of A, AE, or AN, therefore, a Court code of CA or SC is required. Enter the appropriate Court code or change the US Role. |
| LIONS-598: | ERROR - Court cannot be CA or SC for this US Role. | This Court code is only valid with a US Role of A, AE, or AN. Change the Court code or the US Role as appropriate. |
| LIONS-599: | ERROR - Reason cannot be blank when 3 Strikes Notice is "N" on a Life Sentence. | This field is mandatory. Either enter the field or change the Three Strikes Notice field. |
| LIONS-601: | ERROR - Withdrawn Reason must be blank when Three Strikes Notice Withdrawn Date is blank. | In the Disposition Count/Sentence form, the user is attempting to enter a reason why the Three Strikes Notice was withdrawn when the Withdrawn Date is blank. Either enter the date or delete the reason. |
| LIONS-602: | ERROR - Withdrawn Reason must be entered when Three Strikes Notice Withdrawn Date is entered. | In the Disposition Count/Sentence form, the user has entered a Three Strikes Notice Withdrawn Date without entering a reason. This field is mandatory. Either enter the reason or delete the date. |
| LIONS-603: | ERROR - Must enter count(s) for this Instrument <Instrument Type> Charge <Charge>. | User has not entered a Count for the Charge. All Charges must be associated with a Count. Enter a valid Count number for the Charge entered. |

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| LIONS-604: | ERROR - Date must be blank when Judge is not entered. | User has added either a Start or End Date for a Judge. Either enter the Judges Initials or remove the date. |
| LIONS-605: | ERROR - Please enter search criteria before querying records. | User is attempting to move to the second block in one of the search forms without entering search criteria. Enter the search criteria first. |
| LIONS-606: | ERROR - USAOID or FRC# must be entered. | One of these fields is required when attempting to make an entry in the FRC Request form. Enter the appropriate number. |
| LIONS-607: | ERROR - Role of PR cannot be changed. Please delete and re-add. | User is attempting to change the Role code of a Participant in a criminal case that is not allowed. If the Participant has been entered incorrectly, then delete the Participant and start over. If, however, the Property has been disposed, deleting the record will affect your office statistics. |
| LIONS-608: | ERROR - Role of D% can only be changed to D%. | User is attempting to change the role code of a Participant that is not allowed. If a Participant has been previously added as some kind of defendant (D%) then the Role can <u>only</u> be changed to another Defendant Role code. If the Participant has been added in error, then delete the Participant and start over. If, however, the Defendant is disposed, deleting the record will affect your office statistics. |
| LIONS-609: | ERROR - Role of P% can only be changed to P%. | User is attempting to change the role code of a Participant that is not allowed. If a Participant has been previously added as some kind of Plaintiff (P%) then the Role can <u>only</u> be changed to another Plaintiff role code. If the Participant has been added in error, then delete the Participant and start over. If, however, the Plaintiff is disposed, deleting the record will affect your office statistics. |
| LIONS-610: | ERROR - Function Profile with this name already exists. Record not added. | System Manager has attempted to add a Function Profile that does not have a unique name. Re-enter a unique Function Profile name. |
| LIONS-611: | ERROR - Existing Profile <OLD PROFILE NAME> has been copied to <NEW PROFILE NAME>. | Advises System Manager that an existing Function Profile has been copied to a new one. |
| LIONS-612: | ERROR - Profile Name can only contain Alphabetic characters. | System Manager has entered numbers rather than alphabetic characters for a Function Profile name. Re-enter a valid name. |

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| LIONS-613: | ERROR - Profile Name cannot be altered. Copy the Profile to a new name and then delete. | System Manager is attempting to modify a Function Profile name. This is not allowed. If you want to change the name of the Function Profile, copy it to a new Function Profile and then delete it. Note: Function Profiles cannot be deleted if they are in a User Profile. |
| LIONS-614: | ERROR - Relief with a Status of G, D, or X must be entered. | Before a Civil Case can be closed, at least one Relief record with a Stage of G (Granted), D (Denied), or X (Neither) must be entered. |
| LIONS-615: | ERROR - All Appeals must have a Disposition. | User is trying to close a case when there are open Appeal records. Close all Appeal records and then close the case. |
| LIONS-616: | ERROR - Sentence must be entered for Disposition of GT or NC. | User is attempting to close a case with a Disposition of GT or NC without first entering Sentence information. Enter Sentence information and then close the case. |
| LIONS-617: | ERROR - Counts must be disposed for the Case. | User is attempting to close a case without disposing of all the Counts entered. You must close all Counts before closing the case. |
| LIONS-618: | ERROR - Start Date must be <= End Date. | User is attempting to enter an End Date that is later than the Start Date. |
| LIONS-619: | ERROR - Must enter Staff Group(s) when Case Restricted is (Y)es. | User has set the Case Restricted flag to Y(Yes). A Staff Group must be entered to indicate to which group the case is restricted. Enter the appropriate Staff Group. |
| LIONS-620: | ERROR - LOV Table is not appropriate unless data type is CHAR. | System Manager is attempting to establish a List of Values for a local report on a field that is numeric. This is not allowed. |
| LIONS-621: | ERROR - Table name must be specified before specifying a column name. | System Manager is attempting to add a table name to the parameter form for a local report before the column has been specified. Specify the column and then specify the table. |
| LIONS-622: | ERROR - To Date must be >= From Date. | User has entered an Offense To date which is earlier than the Offense From date. Enter the correct date or delete the Offense From date. |
| LIONS-623: | ERROR - Cannot modify a user currently logged on. Please select another one. | System Manager is trying to modify a LIONS user who is logged on. This is not allowed. All modifications should be made when the user is logged off. |

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| LIONS-624: | ERROR - Must enter Case Security restriction(s) when Case Security Switch is set to (Y)es. | When the Case Security switch in the User Administration form is set on, System Manager must enter a value for the type of restriction. Either remove the switch or enter an appropriate value. |
| LIONS-625: | ERROR - Must enter Participant restriction(s) when Participant Switch is set to (Y)es. | When the Participant switch in the User Administration form is set on, System Manager must enter a value for the type of Participant to be restricted. Either remove the switch or enter an appropriate value. |
| LIONS-626: | ERROR - Must enter Case Type restriction(s) when Case Type Switch is set to (Y)es. | When the Case Type switch in the User Administration form is set on, System Manager must enter a value for the type of cases from which the user is restricted. Either remove the switch or enter an appropriate value. |
| LIONS-627: | ERROR - User Name must be alpha. Please re-enter. | System Manager has entered numbers in the LIONS Username field. Re-enter an alphabetic Username. |
| LIONS-628: | ERROR - Cannot delete this Staff. Already existed in <table name> table. | System Manager is attempting to delete a LIONS user who is associated with cases. This delete is not allowed. |
| LIONS-629: | ERROR - Must enter (M)anager or (U)ser. Please re-enter. | The User Type field is required for each LIONS user. Enter an appropriate value for the user being added. |
| LIONS-630: | ERROR - Staff Group must be entered. | User has set the Case Restriction flag to Y(Yes) without entering a Staff Group to which the case is being restricted. Either set the Case Restrict flag to N(No) or add a valid Staff Group. |
| LIONS-631: | ERROR - No Judge can have more than one active Court Assignment. | User is trying to add the same Judge more than one time for a Court. This is not allowed. Delete the duplicate Judge record. |
| LIONS-632: | ERROR - Country must be entered if Immigration Status is filled in. | User has entered a value in the Immigration Status field without entering information in the Country field for a Participant. Either remove the information in the Immigration Status field or add the appropriate value in the Country field. |
| LIONS-633: | ERROR - Only users with Staff Security Type (M)anager can modify this screen. | A user with a LIONS staff type of U(User) is not authorized to make changes in the User Administration form. Contact your System Manger for proper authorization to use this form. |
| LIONS-634: | ERROR - Document Code must be entered. | User has added a Document Date in an Event record without entering a Document Code. Either delete the date or add an appropriate code. |

| ERROR NUMBER | ERROR MESSAGE | EXPLANATION OF ERROR MESSAGE/ACTION |
|---------------------|------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| LIONS-635: | ERROR - You cannot enter Sentence Information for Property. | An informational message advising the user that the Sentence screen cannot be accessed for Property. |
| LIONS-636: | ERROR - SECURITY VIOLATION: Cannot Add/Update/Delete a Participant with this role. | The user has a data restriction set which does not allow them to view, add, update, or delete Participants with the Role code which they are attempting to add. Contact the System Manger for additional privileges. |
| LIONS-637: | ERROR - Printer name must be provided. | User is attempting to print a report without defining the printer address. Enter the ID of the printer to which the report is to be printed. |
| LIONS-638: | ERROR - User already Active at this site. Please re-enter. | System Manager is attempting to activate a user when the user is already active. |
| LIONS-639: | ERROR - User is Inactive at this site. Please re-enter. | System Manager is attempting to drop a user that is not active. |
| LIONS-640: | ERROR - You cannot delete Staff records with Active Sites. | System Manager is attempting to delete a user profile that is active. Staff can only be deleted if they are first inactive, and if they have no active cases. |
| LIONS-641: | ERROR - Password must be entered when processing sites. | If changes are made to a User Profile that require the System Manager to process the site, the password must be entered. |
| LIONS-645: | ERROR - All Courts have to be disposed. | User is attempting to close a case without closing all Court history records. Access the Court History form and close the Courts, then close the case. |
| LIONS-900: | ERROR-<USERNAME> not registered in GS_STAFF. Notify System Manger | User is trying to log onto LIONS and is not a valid user. Contact System Manager for assistance. |
| LIONS-901: | ERROR- <USERNAME> not active in GS_STAFF. Notify System Manger. | User is trying to log onto LIONS and is an inactive LIONS user. Contact System Manager for assistance. |
| LIONS-902: | ERROR - Current Site not registered in GS_CURRENT_SITE. Notify System Manager. | Internal error. Contact Case Management Staff if this error occurs. |
| LIONS-903: | ERROR - Site not registered in GS_SITE. Notify System Manger. | Internal error. Contact Case Management Staff if this error occurs. |

| ERROR NUMBER | ERROR MESSAGE | EXPLANATION OF ERROR MESSAGE/ACTION |
|---------------------|----------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| LIONS-904: | ERROR - <USERNAME> not registered in GS_SEC_STAFF_SITE. Notify System Manager. | Internal error. Contact Case Management Staff if this error occurs. |
| LIONS-905: | ERROR - <USERNAME> not active at <sitename> site in GS_SEC_STAFF_SITE. Notify System Manager | A user is attempting to logon at a site where they are not active. System Manager must first make the user active at the site. |
| LIONS-906: | ERROR - <USERNAME> not registered in GS_SEC_STAFF_MENU. Notify System Manager. | Internal error. Contact Case Management Staff if this error occurs. |
| LIONS-907: | ERROR - <USERNAME> has no active menu items in GS_SEC_STAFF_MENU. Notify System Manager. | User has logged onto LIONS and all menu options are greyed out. System Manager must add a function profile for this user and then refresh the user at all sites where they are to be active. |
| LIONS-908: | ERROR - This case has a DNA record with no outcome of proceedings and can not be closed. | User is attempting to close a case with a DNA record attached. The DNA record does not contain the outcome of proceeding choices and cannot be closed until those outcomes are identified (in the DNA Testing screen). |

APPENDIX E - CODING POLICIES

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I GENERAL GUIDANCE

The Coding portion of the LIONS Manual is written under the assumption that the user has a good working knowledge of opening, updating, and closing civil and criminal actions in LIONS. It is not intended as a step-by-step description of how to enter data in LIONS. Rather, it addresses specific items that need to be included in LIONS in order to maintain data integrity and consistency in certain areas.

II CASE CERTIFICATION POLICY

The Executive Office for United States Attorneys (EOUSA) provides oversight, general executive assistance and direction to the Offices of the United States Attorneys, and coordinates the relationship of other organizational units of the Department of Justice and other Federal agencies with the United States Attorneys' offices. A critical aspect of this role is the job of maintaining a centralized computer database which contains information on the criminal and civil matters, cases and appeals handled by the United States Attorneys' offices. EOUSA provides the statistics produced by this central system regularly to the Attorney General and the Congress in support of the prosecution and litigation efforts of the United States Attorneys' offices.

Other Department of Justice components and other Federal Agencies also receive this data. Although we recognize that these statistics do not adequately represent a realistic picture of the time, effort, and skill required to prosecute and litigate cases, they partially measure workflow and determine our annual budget.

In this regard, EOUSA is committed to assisting the United States Attorneys' offices in the pursuit of accurate and reliable case management data. In fiscal year 1991, EOUSA instituted the Garbage Out program, a three-step project designed to ensure case management data integrity. The primary objective of Garbage Out was to increase attorney involvement in, and accountability for, the quality of data in the local case management system.

In our continuing effort to maintain accurate and reliable caseload data, EOUSA requires all districts to prepare semi-annual certifications indicating that the information contained in your local databases has been reviewed and accurately reflects the status of pending matters, cases and appeals.

Certifications are due March 31st and September 30th of each calendar year.

To assist your offices in the certification process, the Case Management Staff has provided four options to certify your caseload.

Case Certification Review: This report provides more detailed information to provide AUSAs the ability to review their cases in a report format. The report is found on the LIONS Menu from Reports>Quality Control>Civil or Criminal>Case Certification Review.

AUSA Workload Reports: Alternately, an AUSA can print and review either the Civil Matters/Cases Pending Workload or the Criminal Defendants Pending Workload reports to certify the accuracy of cases.

Alternate District Reporting Methods: Finally, districts may certify cases with district generated reports. This allows districts to certify cases in a manner that is consistent with local work flow.

Case Certification by Event: This report is found on the LIONS Menu from Reports>Quality Control>Civil or Criminal>Case Certification/Event. To use this report properly, an event code of CERT must be entered when cases are certified. The report will look for all cases with an event code of CERT and an event date within the range of the report.

III CIVIL CODING POLICIES

1 Asset Forfeiture

1.1 General Information

For certain types of illegal activity, property, e.g., cars, real property, or cash, may be forfeited by reason of the unlawful use made of the property or the unlawful condition in which the property is placed. A car used to transport an illegal drug is an example of an unlawful use. Drug money used to purchase a house is an example of an unlawful condition in which the property was placed. Proceeds from certain types of crimes may also be forfeited.

Forfeited property is sometimes referred to as contraband. However, for purposes of this policy statement, contraband is defined as that property which is unlawful to produce or possess; e.g., illegal drugs, endangered species, etc. For reporting purposes, contraband has no dollar value.

A civil forfeiture is an *in rem* proceeding (the property is the defendant). There are two types of civil forfeiture actions - administrative and judicial.

Administrative forfeiture is a civil forfeiture of personal property which is processed exclusively by the seizing agency. If more than one hour of AUSA time is involved, open a civil matter. These should be closed when the United States Attorney's office involvement is ended.

Civil judicial forfeiture is a civil action handled by the U.S. Attorney's office. A civil action is filed against the property to be forfeited.

A criminal forfeiture is an *in personam* proceeding against the defendant in a criminal action and requires that the property be named in the information, indictment, or bill of particulars. For information concerning criminal forfeitures see Criminal Coding Policies Section 4 in this Appendix for information on docketing civil forfeitures.

It is the responsibility of the U.S. Marshal or lead Treasury agency to provide the appraised value of the property to be forfeited, unless the property is contraband and/or is to be destroyed within 60 days of the seizure. When an action is opened, enter the estimated appraised value in the Amount field of the Relief block if the appraisal is not available. You must enter a Stage of **R** (Requested). If the appraisal received later is different, update the amount field of the Requested Relief record. If an interlocutory or stipulated sale is subsequently held, change the Amount field to reflect the sale amount.

1.2 Opening Procedures

Open a civil forfeiture when the property is seized or when an investigation is initiated. This includes the following:

- All drug related civil asset forfeiture cases and matters
- All non-drug related civil asset forfeiture cases and matters
- Money laundering/structuring cases and matters
- Asset forfeiture seizure warrants and proceedings for the return of seized asset forfeiture property or evidence

Other types of warrants or proceedings for the return of seized property, not related to asset forfeiture, should be opened using Cause of Action code for subpoena/summons/warrants ["SU"].

Follow the procedures for opening a new civil action in Chapter 3 - Civil Initiation. Include the following information:

CASE BLOCK

Caption - Lead piece of property to be forfeited, e.g., “**One 1999 Mercedes**”

Cause of Action - **AF** (non drug related) or **AFDR** (drug related)

DOJ Division - If this is OCDETF case, enter **ZNTF** w/ appropriate Core City Number

AGENCY BLOCK

Agency - Enter appropriate seizing agency code

Agency File Number - If agency is JUDE, enter the Seizure Number found on the label attached to the Forfeiture Referral Memorandum.

PARTICIPANT BLOCK

Type - **P** (Property)

Role - **D** (Defendant)

Name - Name of the property

CATS Asset ID - Enter if known

At local option, you can track the names of Claimants to the property and you can relate those claimants to the property. To enter claimants use a Type of **I** (Individual) or **B** (Business) and a Role of **CM** (Claimant/Petitioner). To relate claimants to property, add a Related Participant Record.

Note: For additional information about entering participant information or adding a related participant record, see Chapter 3 - Civil Initiation.

If you want to track the value of each piece of property, add a relief record for each piece of property. If you just want to track the total property value, enter one Relief record and attach all of the property participants to it. In either event, the Central System will add up all Relief Records with a Stage of **R** (Requested).

RELIEF BLOCK

Type - M (Monetary). If the property is contraband or is to be destroyed, enter **N** (Non-monetary).

Stage - R (Requested)

Requested By - G (Government)

Amount - Appraised value, if available. If not available, enter the estimated appraised value.

Throughout the life of the Civil action, you can modify the Relief amount based on new information from the agency or the Marshals Service. If an interlocutory or stipulated sale is held, change the Relief Requested amount to reflect the sale price.

1.3 Closing Procedures

Close the civil forfeiture when the Civil Unit has completed its work. This will generally be at the time of the judgment or settlement.

If the judgment has been entered, or a settlement has been agreed to, but the property is not going to be disposed of immediately, close the civil action by adding a new Relief record per the instructions in Chapter 4 - Civil Updates and Closings and include the following:

RELIEF BLOCK

Type - M (Monetary). If the property is contraband or is to be destroyed, enter **N** (Non-monetary).

Stage - G (Granted), or **D** (Denied)

Requested By - G (Government)

Amount - If the judgment was in favor of the Government, enter the appraised value.

Non-monetary - If the Type is **N** (Non-monetary), enter "contraband," or some similar notation.

COURT HISTORY

Di - Enter the appropriate Judgment or Settlement Code

Date - Enter the date of the judgment or settlement

If you want to monitor the civil action until the sale, you can enter a new Court History of **PD** (Post Disposition/District Court) after you close the civil action. This will cause the civil action to show up on workload reports. Once the property has been sold, close the **PD** Court History. When you are ready to close the **PD** Court History enter the current date with a disposition code of **PC** (Post-Disposition Action Completed). *DO NOT* change anything in the relief records.

2 Bankruptcy

2.1 When to Open a Record

When a request to represent a client agency in a bankruptcy is received, open a record based on the instructions below.

2.1.1 Filing of Proofs of Claim

Do not initiate a civil record for bankruptcies if the only action required is the filing of the proof of claim. If the United States Attorney is required to participate actively in the proceedings, the one-hour rule will apply.

2.1.2 Referrals from DOJ Divisions

Any record referred for action by the Civil Division of the Department of Justice must be initiated. Be sure to include the DOJ Division and DOJ Number.

2.1.3 Bankruptcy Proceedings Arising out of a Previous Civil Action

Sometimes a bankruptcy proceeding will arise out of a civil action that has already been docketed in either the TALON or LIONS system. Following are guidelines that explain when you should open a separate action to track the bankruptcy.

- If a bankruptcy proceeding arises out of an action that you have open in TALON, open a new civil action in LIONS to track the bankruptcy.
- If a bankruptcy proceeding arises out of a civil action that is currently open in LIONS, *AND* the bankruptcy proceeding will involve legal issues and theories which would not otherwise be involved in the civil action, open a new civil action in LIONS to track the bankruptcy.
- If a bankruptcy proceeding arises out of a civil action that is currently open in LIONS, and your office is only going to file a motion to lift the stay, *DO NOT* open a separate case. Add a court history to the existing case with a court code of **BC** (Bankruptcy Court).

2.1.4 Informal Referrals from Other Sources

Paperwork may be received directly from the Bankruptcy Court or other sources, apart from a client agency. If it discloses a federal interest which, in the opinion of the AUSA, should be represented in a bankruptcy proceeding, the AUSA should immediately contact the agency whose claims/interests are involved to discuss whether a referral to the USAO should be made. Open a civil action if it is agreed that work should be done by the USAO. Be sure you get a referral confirmation.

2.1.5 Adversary Proceedings

If the United States Attorney's office participates in an adversary proceeding open a new civil case. You should open a new case whether you have a pending bankruptcy or not.

2.2 Opening Procedures

Follow the procedures for opening a civil action in Chapter 3 - Civil Initiation of this manual and include the following:

CASE BLOCK

Cause of Action = Enter one of the following:

BKBS - Bankruptcy, Chapter 7

BKBE - Bankruptcy, Chapter 11

BKBF - Bankruptcy, Chapter 12

BKBT - Bankruptcy, Chapter 13

BKAD - Bankruptcy, Adversary Proceeding

BK - Bankruptcy, Other

DOJ Division and DOJ Number = For referrals from the legal divisions, enter the appropriate Division Code(s) and DOJ Number. If this is an NCIF referral, enter the number assigned by the NCIF.

COURT HISTORY BLOCK

Court = **BC** (Bankruptcy Court)

Filing Date = Enter the date the bankruptcy was filed

And/or

Service Date = Enter the date of service

PARTICIPANT BLOCK

Participant Role = **DD** (Debtor) except in adversarial proceedings

2.3 Adversary Proceedings

Every new adversary proceeding in which the U.S. is a party will be opened as a **new** civil action. This rule applies whether there is a pending bankruptcy in LIONS or not.

CASE BLOCK

Cause of Action = **BKAD** (Adversarial Proceeding)

US Role = **D** (Defendant) or **P** (Plaintiff)

COURT HISTORY BLOCK

Court = **BC** (Bankruptcy Court)

Filing Date = Enter the date the adversarial proceeding was filed

And/or

Service Date = Enter the date of service

PARTICIPANT BLOCK

Participant Role = **D** (Defendant) or **P** (Plaintiff)

RELIEF BLOCK

Type of Relief = **M** (Monetary)

Stage = **R** (Requested)

Requested By = **G** (Government) or **O** (Opposing Side)

Amount = Amount prayed for in the complaint, if applicable

2.3.1 Closing an Adversary Proceeding

Close the Adversary Proceeding when no further action is required by the U.S. Attorney's Office. Use the appropriate Judgment or Settlement code in the Court History block.

2.4 Non-monetary Bankruptcy Litigation

If a bankruptcy case is referred to or opened in your office for a specific purpose such as Motion to Require Filing Tax Return, or Motion to Dismiss, etc., and it is anticipated the case will be closed without any additional litigation, it can be opened as a non-monetary bankruptcy.

Note: A case originally opened as non-monetary may be changed to monetary during the course of the litigation.

CASE BLOCK**US Role = B** (Creditor)**Civil Cause of Action** = One of the following:

- BKBS** - Bankruptcy, Chapter 7
- BKBE** - Bankruptcy, Chapter 11
- BKBF** - Bankruptcy, Chapter 12
- BKBT** - Bankruptcy, Chapter 13
- BK** - Bankruptcy, Other

RELIEF BLOCK**Type of Relief = N** (Non-monetary)**Stage = R** (Requested)**Requested by = G** (Government)**Non-monetary** = "Non-monetary" or a similar notation**2.5 Monetary Bankruptcy Litigation**

If a bankruptcy case is referred to or opened in your office for the purpose of collecting money, enforcing a claim or security interest, or ensuring proper distribution is made to the client agency, it should be opened as a monetary bankruptcy. Enter the information shown below.

Note: A case originally opened as monetary should not be changed to non-monetary during the course of the litigation.

CASE BLOCK**US Role = B** (Creditor)**Civil Cause of Action** = One of the following:

- BKBS** - Bankruptcy, Chapter 7
- BKBE** - Bankruptcy, Chapter 11
- BKBF** - Bankruptcy, Chapter 12
- BKBT** - Bankruptcy, Chapter 13
- BK** - Bankruptcy, Other

RELIEF BLOCK**Type of Relief = M**(Monetary)**Stage = R** (Requested)**Requested by = G** (Government)

Amount = Amount as stated in the Proof of Claim, including interest to the date of the bankruptcy petition. If this amount is unknown, use a Relief Type of **U** (Unknown Monetary Amount).

2.6 Referral to the Financial Litigation Unit

A bankruptcy must be referred to the Financial Litigation Unit to open debt records when a cash payment is received or when payments are received by the agency while the bankruptcy is open in the office. A debt record should not be opened to report a noncash reduction in the debt; e.g., a voluntary conveyance of collateral. At local discretion, you may close the record in LIONS when it is referred to the Financial Litigation Unit.

Note: A record may be open in both the Civil and Collections Subsystems at the same time.

2.7 Closing a Bankruptcy Case

2.7.1 When to Close a Case

Close a bankruptcy case when the bankruptcy action has been completed, or when the plan is confirmed. It is not necessary to wait for the case to be closed in Bankruptcy Court if no further action, such as completion of pending sales, surrender of property, receipt of payments, distribution or monitoring, is required by the United States Attorney's office.

2.8 Closing a Bankruptcy Case or Adversarial Proceeding

To close the civil bankruptcy or adversarial proceeding, follow the normal closing procedures described in Chapter 4 - Civil Updates and Closings and include the following information:

RELIEF BLOCK

Type of Relief = **M** (Monetary), **N** (Non-monetary), **U** (Unknown Monetary Amount)

Stage = **G** (Granted) or **D** (Denied), as appropriate

Amount = Amount of money and the value of collateral that the United States either collected while the case was in bankruptcy and/or has the legal right to recover from either the debtor or the debtor's property after the bankruptcy case is closed.

Any debt discharged in bankruptcy should be excluded from this amount unless a valid lien survived the bankruptcy. In that case, this amount should be the fair market value of the collateral to the extent of the lien, as this is all that the United States has the legal right to pursue. Included in the amount entered in this field, regardless of collectability based upon the debtor's lack of resources, should be non-dischargeable debts, reaffirmed debts, or debts to be repaid under a reorganization plan.

COURT HISTORY

Di (for bankruptcy) = **BA** (Bankruptcy USAO work Completed)

This code is intended to encompass a broad range of bankruptcy resolutions. For example:

- when a bankruptcy plan has been confirmed
- when the bankruptcy case has been dismissed
- when a chapter 7 discharge has been entered, or the Government's priority has been determined
- when a proof of claim has been filed and no further action is contemplated.

Disposition Date (for bankruptcy) = Enter the date the plan was confirmed, the bankruptcy was dismissed, a chapter 7 discharge was entered, the Government's priority was determined, or a proof of claim was filed.

Di (for adversarial proceeding) = use the appropriate Judgment/Order/Decision codes or Settlement codes.

Disposition Date (for adversarial proceeding) = date of the judgment/order/decision or settlement.

2.9 Appeal to District Court/Bankruptcy Appellate Panel

Judgments, orders or decrees entered by bankruptcy judges are often appealed. In some districts, those appeals are handled by a Bankruptcy Appellate Panel. In others, they are assigned to a District Court judge. In either situation, open a new civil action in LIONS. In the Court History record enter a court code of **BA** (Bankruptcy Appeal Panel) or **DC** (District Court), whichever is appropriate. *Do not* open an appeal record.

3 2410 Litigation

3.1 General Information

Under the provisions of 28 USC § 2410, the United States may be named a party in a foreclosure. Section 2410 provisions apply only when the U.S. is the defendant or intervenor or some other designation, but never a Plaintiff. This includes suits filed in state or federal court, including state condemnation proceedings in which a government lien is involved, and regardless of whether the agency is the IRS or some other agency such as VA, SBA, HUD, etc.

3.2 When to Initiate a Record

Open a civil action when the U.S. Attorney's Office is served. If the U.S. Attorney or the agency receives any money after the government files an answer, a Collection action *MUST* be opened in the TALON Collections System.

3.3 Opening Procedures

To open a 2410 follow the procedures for opening a new civil action in Chapter 3 - Civil Initiation of this manual, and include the following information:

CASE BLOCK

Cause of Action = COLN (28 U.S.C. 2410 Litigation)

US Role = D (Defendant) or **I** (Intervenor)

RELIEF BLOCK

Type = M (Monetary) or **N** (Non-monetary)

Stage = R (Requested)

Requested By = G (Government)

Amount = If the Type is **M**, enter the amount of the lien

Non-monetary = If the Type is **N**, enter a notation that represents what is requested.

3.4 Removal to Federal Court

If the civil action is removed from State to Federal court, update the court history information as shown below. For more information on updating Court History Records, see Chapter 4 - Civil Updates and Closings.

COURT HISTORY BLOCK

Close the **ST** (State Court) Court History Record with a disposition of **NW** (New Filing). Add a new Court History record with a court of **DC** (District Court).

3.5 Closing Procedures

Close the LIONS action when all necessary actions have been taken. If a Judgment is entered use the appropriate Judgment Code, if there is a Settlement use the appropriate Settlement Code. If you choose to close the action prior to a judgment or settlement, use a disposition of **CW** (Closed–Necessary Action Taken).

If you want to monitor the case through the sale, add a Court History of **PD** (Post-Disposition) after you have closed the case.

To close the civil action follow normal procedures described in Chapter 4 - Civil Updates and Closings, of the this manual and include the following information:

RELIEF BLOCK

Type = **M** (Monetary) or **N** (Non-monetary)

Stage = **G** (Granted) or **D** (Denied)

Requested By = **G** (Government)

Amount = If the Type is **M** enter the amount distributed to U.S.

Non-monetary = If the Type is **N** (enter a notation that reflects the type of relief granted).

CLOSE CASE

Collection Indicator = **Y** (Yes) or **R** (Referred to Agency).

3.6 Referral to Financial Litigation Unit

If a 2410 is reported through LIONS, it is referred to the Financial Litigation Unit when money is received, or going to be received, by the U.S. Attorney's Office or the Agency.

4 Foreclosures - U.S. Plaintiff

4.1 Case Opened in LIONS

If you are going to track your foreclosure cases through LIONS, open a new civil action following the procedures in Chapter 3 - Civil Initiation.

CASE BLOCK

Cause of Action = COMC (Foreclosures/Liens–U.S. Plaintiff)

U.S. Role = P (Plaintiff)

DOJ Division = ZCIF if an NCIF number has been provided.
If the Department of Justice Civil Division refers the case to you enter **CIVL** (Civil Division)

DOJ Number = Enter the NCIF number or the Civil Division number.

RELIEF BLOCK

Type = M (Monetary)

Stage = R (Requested)

Requested By = G (Government)

Amount = Enter amount shown on the CCLR form

4.2 Referral to Financial Litigation Unit

If the U.S. is going to receive any money, refer the action to the Financial Litigation Unit at one of the following points:

- When the judgment or decree is entered;
- When the property is voluntarily conveyed to the agency;
- When the property holder pays the delinquency or pays the balance in full.

Foreclosures may remain open in LIONS until Civil Division personnel have completed work on the civil action. It is not necessary to close the LIONS civil action at the time of referral to the Financial Litigation Unit.

4.3 Closing Procedures

To close the foreclosure, follow normal procedures described in Chapter 4 - Civil Updates and Closings and include the following:

RELIEF BLOCK**Type = M** (Monetary)**Stage = G** (Granted) or **D** (Denied) if there was a judgment or settlement. If the suit was dismissed, enter **X** (Neither)**Requested By = G** (Government)**Amount =** Amount granted or denied.**CLOSE CASE****Collection Indicator = Y** (Yes) or **R** (Referred to Agency), if a monetary relief record with a Stage of granted has been entered and the amount is greater than \$0.**5 Post-Conviction/Prisoner Litigation - 2255s****5.1 Federal Prisoners**

Federal prisoners may file motions under 28 USC 2255, petition for a writ of habeas corpus under 28 USC 2241, or may file a multitude of various other post-conviction claims for all types of relief. Although these suits may be handled by criminal Assistant U.S. Attorneys, they are considered civil litigation.

5.1.1 Opening Procedures

Open a new Civil record using the Initiation Procedures described in Chapter 3 - Civil Initiation of this manual, and include the following information:

CASE BLOCK**Cause of Action = PCST** (28 USC 2255); **PC** (all other Post-Conviction/Prisoner Litigation)**US Role = D** (U.S. Defendant)**COURT HISTORY BLOCK****Court = DC** (District Court)**Court Number =** Appropriate number assigned by the court. This may be the original criminal court number, or it may be a new civil number.**Filing Date =** Date filed in court.

RELIEF BLOCK

Type of Relief = N (Non-monetary)

Stage = R (Requested)

Requested By = O (Opposing Side)

Non-monetary = "Writ of Habeas Corpus" or some other annotation

Optionally, you can add a Related Case Record to the civil action relating it back to the original criminal action. Instructions for completing a Related Case Record can be found in Chapter 3 - Civil Initiation.

5.1.2 Closing Procedures

When a decision is made in the case, close the LIONS civil action as follows.

RELIEF BLOCK

Type = N (Non-monetary)

Stage = G (Granted) **D** (Denied)

Requested by = O (Opposing Side)

Non-monetary = "Writ of Habeas Corpus" or some other annotation

COURT HISTORY BLOCK

Di = Use the appropriate Judgement or Settlement code.

Disposition Date = Enter the Judgment/Settlement date.

6 Post-Conviction/Prisoner Litigation – DNA Testing

6.1 Federal Prisoners

Federal prisoners may file motions under 18 USC 3600 for an order of DNA Testing. Although these suits may be handled by criminal Assistant U.S. Attorneys, they are considered civil litigation.

6.1.1 Opening Procedures

Open a new Civil record using the Initiation Procedures described in Chapter 3 - Civil Initiation of this manual, and include the following information:

CASE BLOCK

Cause of Action = PCDN (18 USC 3600)

US Role = D (U.S. Defendant)

COURT HISTORY BLOCK

Court = DC (District Court)

Court Number = Appropriate number assigned by the court. This may be the original criminal court number, or it may be a new civil number.

Filing Date = Date filed in court.

RELIEF BLOCK

Type of Relief = N (Non-monetary)

Stage = R (Requested)

Requested By = O (Opposing Side)

Non-monetary = "DNA Testing Requested"

6.1.2 Updating Procedures

When a Federal Prisoner submit a request to *ORDER* DNA Testing update the relief record described in Chapter 4 – Updates and Closings of this manual, and include the following information.

RELIEF BLOCK**Type of Relief = N** (Non-monetary)**Stage = O** (Ordered)**Requested By = O** (Opposing Side)**Non-monetary =** "DNA Testing Ordered"

If DNA Testing is *GRANTED*, update the relief record described in Chapter 4 – Updates and Closings of this manual, and include the following information.

RELIEF BLOCK**Type of Relief = N** (Non-monetary)**Stage = G** (Granted)**Requested By = O** (Opposing Side)**Non-monetary =** "Granted on the basis of DNA result"

When a decision is made in the case and the relief record is granted, this screen will appear.

The screenshot shows a software window titled "LIONS - RELIEF - [cvrelief:2.0]". The menu bar includes "Action", "Edit", "Record", "Query", "Window", and "Help". The main area is divided into sections:

- CASE**: USAID: 2006Y00531, Caption: testing DNA, Status: A
- DNA Testing Data**:
 - Was DNA testing ordered? Y/N Y
 - Did the District Court grant relief on the basis of DNA test results? Y/N Y
 - Did further proceedings occur after relief was granted? Y/N Y. If Yes, check all outcomes of proceedings that apply.
- New Trial Ordered** (checkbox):
 - Charge(s) Dismissed (checkbox)
 - Guilty Plea Entered (checkbox)
 - Found Guilty (checkbox)
 - Acquitted (checkbox)
- Resentencing in a Capital Case** (checkbox)
- Comments**: A large empty text area.

At the bottom, there is a date field showing "THU,20-JUL-2006" and navigation buttons: "<S><U><|><D>" and left/right arrow buttons.

Figure E-1. DNA Testing Data 1

The first two questions of the DNA form default to 'yes' with the ordered and granted relief record. The third question is either 'yes' or 'no'. If 'no', the case can be closed. If 'yes', select either "New Trial Ordered" or "Resentencing in a Capital Case." If "Resentencing in a Capital Case" was selected, the case can be closed. If "New Trial Ordered" is selected one of the four outcome of proceedings will have to be selected to close the case.

The screenshot shows a web-based application window titled "LIONS - RELIEF - [cvrelief:2.0]". The window has a menu bar with "Action", "Edit", "Record", "Query", "Window", and "Help". On the left side, there is a vertical toolbar with icons for home, save, print, search, and user profile. The main content area is divided into several sections:

- CASE**: USAOID: 2006V00531, Caption: testing DNA, Status: A
- DNA Testing Data**:
 - Was DNA testing ordered? Y/N
 - Did the District Court grant relief on the basis of DNA test results? Y/N
 - Did further proceedings occur after relief was granted? Y/N If Yes, check all outcomes of proceedings that apply.
- New Trial Ordered**:
 - Charge(s) Dismissed
 - Guilty Plea Entered
 - Found Guilty
 - Acquitted
 - Resentencing in a Capital Case
- Comments**: A large empty text area for entering notes.

At the bottom of the window, there is a date field showing "THU_20-JUL-2006" and a set of navigation buttons: "<S><U><I><D>" and left/right arrow buttons.

Figure E-2. DNA Testing Data 2

You can also add a Related Case Record to the civil action, relating it back to the original criminal action. Instructions for completing a Related Case Record are in Chapter 3 - Civil Initiation.

6.1.3 Closing Procedures

When a decision (granted or denied) is made in the case, close the LIONS civil action as follows.

RELIEF BLOCK

Type of Relief = N (Non-monetary)

Stage = G (Granted)

Requested By = O (Opposing Side)

Non-monetary = "Granted on the basis of DNA result"

RELIEF BLOCK

Type = N (Non-monetary)

Stage = D (Denied)

Requested by = O (Opposing Side)

Non-monetary = "DNA Testing Denied"

COURT HISTORY BLOCK

Di = Use the appropriate Judgment or Settlement code.

Disposition Date = Enter the Judgment/Settlement date.

7 Condemnation Cases Filed by US

7.1 General Information

Lands condemnation cases can be opened in three different ways depending upon local policies and procedures:

- **Option 1** - If the Court assigns one Court number in multi-tract cases and you do not want to track individual tracts, open one civil action (one USAOID) and enter the total number of tracts involved in the civil action in the Total Tracts field of the Property Participant record.
- **Option 2** - If the Court assigns one Court number and you wish to track individual tracts, open one civil action (one USAOID) and enter each tract as a separate participant.
- **Option 3** - If the Court assigns a separate court number for each tract, open a new civil action (new USAOID) for each tract.

7.2 Opening Procedures

Open a new Civil record using the Initiation Procedures described in Chapter 3 - Civil Initiation of this manual, and include the following information:

CASE BLOCK

Cause of Action = LDCN (Land Condemnation)

US Role = P (Plaintiff)

DOJ Division and DOJ Number = The Environment and Natural Resources Division will provide a turnaround document with its file number. Complete that form and return it to the address on the form. Enter the DOJ Division as "**LAND**" and the File Number provided on the turnaround form.

PARTICIPANT BLOCK

Type = P (Property)

Role = D (Defendant)

PROPERTY PARTICIPANT BLOCK

Total Tracts = Total number of tracts entered in this civil action

RELIEF BLOCK

Type = M (Monetary)

Stage = R (Requested)

Requested By = O (Opposing Side)

Amount = Amount requested by the owner

8 Reinstatements

8.1 Different Fiscal Year Rule

If a civil action is closed in one fiscal year and needs to be reopened in a subsequent fiscal year, *DO NOT* reinstate the civil action. You *MUST* open a new civil action in LIONS. Follow the procedures for opening a new civil action in Chapter 3 - Civil Initiation.

Optionally, you can add a Related Case Record in the *new* civil action relating it back to the original civil action. See the instructions for adding a related case record in Chapter 3 - Civil Initiation.

8.2 Same Fiscal Year Rule

If a civil action is closed in a fiscal year and needs to be reopened in the same fiscal year, reinstate the closed LIONS action as follows:

COURT HISTORY BLOCK

Add a new Court History Record. Include the appropriate Court and Court Number. Use the reinstatement date as the filing date.

RELIEF BLOCK

Delete the Granted/Denied Relief record that was entered when the civil action was originally closed. Depending on why the civil action is being reinstated you may need to modify the Relief Requested record.

9 Remand for New Trial

9.1 Open a new case

When an appeal is remanded from the Court of Appeals back to the District Court for a new trial or further proceedings, open a new civil action. Follow the procedures for opening a new civil action in Chapter 3 - Civil Initiation.

10 Social Security Disability Appeals

10.1 Opening Procedures

When an appeal to the District Court of an agency's decision in a Social Security case is received, follow the procedures for opening a new civil action in Chapter 3 - Civil Initiation and include the following information:

CASE BLOCK

Litigating Responsibility = SA (Shared with the Agency)

Cause of Action = SSSDA (Social Security Disability and Supplemental Security Income Appeals)

COURT HISTORY BLOCK

Court = DC (District Court).

AGENCY BLOCK

Agency Code = ZSSA (Social Security Administration)

Agency File Number = Litigant's Social Security Number

RELIEF BLOCK

Type = N (Non-monetary)

Stage = R (Requested)

Requested By = O (Opposing Side)

Non-monetary = Enter "Reinstatement to Rolls" or a similar notation

10.2 Remand to the Agency

When a Social Security case is remanded to the agency for further consideration, you may **either** keep the civil action open in LIONS or you may close it. If you choose to keep the civil action open, you can optionally enter an event of **REAG** (Remanded to the agency for further consideration) and establish procedures to monitor pending actions returned to the agency. If you choose to close the civil action, continue as follows:

COURT HISTORY BLOCK

Di = VR (Voluntary Social Security Remand)

Disposition Date = Date of the Remand

RELIEF BLOCK

Type = N (Non-monetary)

Stage = X (Neither)

Requested by = O (Opposing Side)

Non-monetary = Enter "Returned to Agency" or a similar notation

If reinstatement to the rolls is ordered complete the Relief Block as follows:

RELIEF BLOCK

Type = N (Non-monetary)

Stage = G (Granted)

Requested by = O (Opposing Side)

Non-monetary = Enter "Reinstatement to the Rolls" or a similar notation

IV CRIMINAL CODING POLICIES

1 Appeal of a Magistrate's Decision

1.1 General Information

Occasionally, a Magistrate's decision is appealed to the District Court. In these actions, credit for a District Court action is given in the Central System. Open a new criminal action in LIONS. Refer to Chapter 5 - Criminal Initiation. Include the following information:

COURT HISTORY BLOCK

Court Type = DC (District Court)

INSTRUMENT BLOCK

Instrument = PC (Perfected Complaint or Citation) if the original filing was a Complaint or Citation and no additional charges have been filed. Otherwise, use the appropriate charge; e.g., **IN** (Indictment) or **IF** (Information).

2 Criminal Contempt of Court

There are various types of Criminal Contempt actions, the most common of which arises when a person refuses to testify before the Grand Jury.

2.1 Initiation

To open a Criminal Contempt of Court action, initiate a new Criminal action using the procedures described in Chapter 5 - Criminal Initiation. Include the following information:

CASE BLOCK

Lead Charge = Enter the appropriate citation. For example:

18 :3691 Jury Trial of Criminal Contempt
18 :3692 Jury Trial for Contempt in labor dispute actions
18 :0401 Power of the Court
18 :0402 Contempt constituting crimes

Program Category = 090 (Other Criminal)

Offense Date From = Date the contempt occurred

AGENCY BLOCK

Role = IN (Investigative)

Agency = JUST (All Other Justice)

INSTRUMENT BLOCK

Type = CC (Criminal Contempt)

RELATED CASE BLOCK

If you want to tie the contempt criminal action to the underlying criminal action, add a Related Case Record. Refer to Chapter 6 - Criminal Updates and Closings.

2.2 Monitoring the Expiration of Sentence

If the contempt you are reporting involves a person who refuses to testify before the Grand Jury and you want to monitor the expiration of the Grand Jury, add a scheduled event to the original action. Refer to Chapter 6 - Criminal Updates and Closings.

2.3 Closing Procedures

When you close the action, follow the procedures described in Chapter 6, Criminal Updates and Closings of this manual, and include the following information:

COUNT DISPOSITION BLOCK

Disposition Date - Date the Judge ruled on the Contempt of Court

Disposition - Enter **GT** (Guilty) or **NG** (Not Guilty)

Disposition Reason - Enter the appropriate disposition reason code. For example, **BTRM** (Bench Trial Magistrate Court), or **BTRD** (Bench Trial District Court).

3 Criminal Fraud

3.1 Opening a Record

In order to comply with the reporting requirements of the Major Fraud Act of 1988, open a criminal action as you normally would and include the following information. Refer to Chapter 5 - Criminal Initiation for additional initiation information.

CASE BLOCK

Program Category = 011 (if corruption of a public official in a procurement action is involved), or a code from the **030** series to identify the specific type of fraud. If you are reporting Financial Institution Fraud (**036**), you *MUST* enter a Job Position for the defendant. The Job Position field is listed in the Individual Participant block. *DO NOT USE 090.*

AGENCY BLOCK

Role = Your first Agency Record is for the Investigative Agency; e.g., JUFB. Add a second agency record for the victim agency and use a Role of **VA** (Victim Agency). For fraud against financial institutions, enter the Regulatory Agency; e.g., FDIC. Be sure to include the Program Agency's File Number in the Agency Number Field.

4 Criminal Forfeitures

4.1 General Information

For certain types of crimes, property; e.g., cars, real property, or cash, may be forfeited by reason of the unlawful use made of the property or the unlawful condition in which the property is placed. A car used to transport an illegal drug is an example of an unlawful use. Drug money used to purchase a house is an example of an unlawful condition in which the property was placed. Proceeds from certain types of crimes may also be forfeited.

A criminal forfeiture is an *in personam* proceeding against the defendant in a criminal action and requires that the property be named in the information, indictment, or a bill of particulars. Property mentioned in a plea agreement, that is not mentioned in an information, indictment, or bill of particulars, **CANNOT** be entered in the criminal subsystem of LIONS. See Civil Coding Policies Section 1 in this Appendix for information on docketing civil forfeitures.

To track the property named in the charging instrument or bill of particulars, enter each piece of property in the Participant Block. The Participant Type is **P** (Property) and the Participant Role is **PR** (Property).

If you want to track the property address, the CATS number, and/or keep track of the value of the property, complete the additional property participant screens as described in Chapter 5 - Criminal Initiation.

Add the appropriate forfeiture statute of the charging instrument into LIONS. If a count is not named, add the next consecutive number after the last count named in the charging instrument. Attach the property to the appropriate forfeiture statute in the instrument and specify the count in which the statute appears.

4.2 Case Closing

Property may be disposed of in a variety of ways. Close a forfeiture record in the Criminal Action Tracking System following the procedures described in Chapter 6 - Criminal Updates and Closings of this manual. Depending on the disposition, include the following:

4.2.1 Property found Not Guilty at trial

COUNT DISPOSITION BLOCK

Disposition Date = Date the Not Guilty Verdict was returned

Disposition = **NG** (Not Guilty)

Disposition Reason = Enter the appropriate Disposition Reason code

4.2.2 Property found Guilty at trial; ordered forfeited to the Government

Do not close criminal action until the United States Attorney's office has received the Final Order of Forfeiture. Normally, there is an Ancillary Hearing at which competing claims are resolved. If the U.S. claim is upheld, close the appropriate count as follows:

COUNT DISPOSITION BLOCK

Disposition Date = Date on which the disposition of the property was finalized

Disposition = **GT** (Guilty)

Disposition Reason = **PFAH** (Final Order of Forfeiture in favor of Government)

4.2.3 Property found Guilty at trial; final order solely in favor of a petitioner

Do not close until the United States Attorney's office has received the Final Order of Forfeiture. Normally, there is an Ancillary Hearing at which competing claims are resolved. If the claim of someone other than the U.S. is upheld, close the appropriate count as follows:

COUNT DISPOSITION BLOCK

Disposition Date = Date on which the disposition of the property was finalized

Disposition = **GT** (Guilty)

Disposition Reason = **PNFA** (Final Order of Forfeiture in favor of Claimant)

4.2.4 Property Dismissed from the Charging Instrument

If the property is dismissed from the charging instrument enter the following information:

COUNT DISPOSITION BLOCK

Disposition Date = Date of the dismissal

Disposition = **DM** (Dismissed) or **DP** (Dismissed with Prejudice)

Disposition Reason = Enter the appropriate Disposition Reason code

5 Expungement Orders

5.1 Procedures for Court-Ordered Disposition of Records

Procedures for the court ordered disposition of records are covered by two Departmental orders:

- DOJ Order 2710.7D, dated May 3, 1993, Recordkeeping and the Controlled Substance Act;
- DOJ Order 2710.10A, dated April 20, 1990, Federal Court Orders for the Disposition of Official Records other than under the Controlled Substance Act.

5.2 Order of Deferred Entry of Judgment

Under the Controlled Substance Act, an order of deferred entry of judgment may be entered if the defendant is placed on probation not to exceed one year under 21 U.S.C. § 844 and 18 U.S.C. § 3607. At the expiration of the term of probation, the proceedings are dismissed and the defendant is discharged from probation. The Records Management Section, Justice Management Division, is responsible for maintaining the non-public record required by the statutes, and notifying the EOUSA.

5.3 Update the Criminal File

With respect to your office's case management system, it is necessary to update the Criminal file so that personal identifiers are eliminated. The following procedures deal with modifications to the LIONS records when the Court orders an Expungement.

- If the Defendant's name is part of the caption change the Case Caption to "**EXPUNGED**".
- Change the Defendant name to "**EXPUNGED**".
- Blank out the Defendant's Social Security Number.
- Blank out the Defendant's address.
- Delete any Alias Records that pertain to the Defendant.
- Delete any Defendant Event, Case Event or Case Notes that contain personal information about the defendant.

After changing these fields, review the record to determine that none of the note fields contain the defendant's name, alias, or other identifiers. If they do, these fields must also be updated. In addition to updating LIONS, be sure to destroy any physical records.

5.4 Refer to Expungement Order

For information regarding the disposition of physical records refer to Order DOJ 2710.10A.

6 Hung Jury

There can be two different outcomes from a hung jury. Charges can be dismissed and the criminal action closed, or it can be continued for a new trial.

6.1 Charges Dismissed

If charges are dismissed following the hung jury, close the counts using the procedures described in Chapter 6 - Criminal Updates and Closings of this manual. Include the following information:

COUNT DISPOSITION BLOCK

Disposition Date = Date of the dismissal

Disposition = **DM (Dismissed)**

Disposition Reason = One of the following:

HUND Hung Jury District Court

HUNM Hung Jury Magistrate Court

6.2 New Trial

If the criminal action is continued for a new trial following the hung jury, *DO NOT* close the it in LIONS. Optionally, report the following information in an Event Record:

EVENT BLOCK

Event = Appropriate code; e.g., **HUNG** (Hung Jury)

Date = Date of court decision for a new trial

Optional second event to schedule the trial.

Event = **CTRI** (Court Trial) or **JTRI** (Jury Trial), as appropriate

Scheduled Date = Date of trial

7 Juveniles

7.1 General Information

When a juvenile is to be investigated/prosecuted as a juvenile delinquent or as an adult, the following special procedures must be followed. (Note: this includes adult suspects who are being prosecuted for crimes committed prior to becoming adults). Open the action following the procedures in Refer to Chapter 5 - Criminal Initiation for additional information. Include the following information:

CASE BLOCK

Lead Charge - Do not use 18 USC 5032-5042 as a charge.

PARTICIPANT BLOCK

Role = DJ (Juvenile Defendant)

DOB = Enter the juveniles date of birth

Juvenile = On the participant information screen, set the flag to **Y**(Yes)

If a juvenile is to be prosecuted as an adult, enter a defendant status of **JT** (Juvenile Transferred to Adult Status), at the time of the transfer and proceed with the criminal action. The defendant status of **JT** will allow the EOUSA to get counts of the number of juveniles who have been transferred to adult status.

7.2 Closing Procedures

If a juvenile is handled as a juvenile delinquent, use one of the following disposition codes to report the finding:

COUNT DISPOSITION BLOCK

Disposition Date = Enter judgment date

Disposition = **GD** Adjudged juvenile delinquent or
ND Adjudged not juvenile delinquent

Disposition Reason = Use the appropriate disposition reason; e.g.,

BTRD (Bench Trial District Court) or **BTRM** (Bench Trial Magistrate Court).

8 Narcotics Task Force (OCDETF)

8.1 How a Criminal Action Qualifies as a Narcotic Task Force Action

In order for a drug investigation to qualify as an OCDETF action, it must first be assigned a case number by the district's Core City Administrative Unit. Thus, most drug criminal actions initiated within the district (even if assigned to the district's Narcotics Task Force) are not OCDETF actions.

8.2 Update the LIONS Criminal Action

When the Core City Administrative Unit assigns a number, update the Criminal action, and include the following information:

CASE BLOCK

Priority = N (National)

Program Category Code = 047 (Narcotics Task Force). If the OCDETF action involves a Triggerlock violation use Program Category Code **053**.

DOJ Division and DOJ Number - LIONS will enter ZNTF into the DOJ Division field. Enter the Number assigned by the Core City Administrative Unit into the DOJ Number field.

9 Post-Disposition Proceedings

9.1 General Information

Enter the following types of post-disposition actions in criminal as “Post-disposition records.”

| | |
|------------------|-------------------------------------------------------------|
| 18 U.S.C. 3565 | Probation Revocation |
| 18 U.S.C. 3583 | Supervised Release |
| 18 U.S.C. 3582C1 | Motion to Modify sentence at BOP request (humanitarian) |
| 18 U.S.C. 3582C2 | Motion to modify sentence - change in Sentencing Guidelines |

Please note the following:

- Rule 35 hearings should to be entered as an event in an existing criminal action.
- Open 2255s and habeas corpus as Civil actions. See Civil Policy, Section 5 of this Appendix.

9.2 Opening Procedure

If the criminal action is still in LIONS, add a new Court History. If it is no longer in LIONS, open a new criminal action (new USAOID). Include the following:

COURT HISTORY BLOCK

Stage = **PD** (Post-Disposition/District Court), **PM** (Post-Disposition/Magistrate Court), **PN** (Post-Disposition/Not in Court) as appropriate

If the Post-Disposition is in court, proceed as follows:

INSTRUMENT BLOCK

Type = **YD** (Post Disposition)

CHARGE BLOCK

Charge = E.g., 18 :3653

RELATED CASE BLOCK

If you are opening the Post-Disposition with a new USAOID, you can optionally create a Related Case Record to tie the Post-Disposition action to the original criminal action. See Chapter 5 - Criminal Initiation for information on Related Actions.

10 Pretrial Diversion

10.1 Record Remains Open

When a defendant is in a pretrial diversion program, leave the criminal action open so that the defendant will continue to appear on workload reports.

10.2 Add a Defendant Status Record

When a defendant enters into a pretrial diversion program, regardless of whether or not charges have been brought, create a Defendant Status Record and include the following information:

DEFENDANT STATUS BLOCK

Date = Enter the date the defendant entered the pretrial diversion program.

Status = **PD** (Pretrial Diversion)

10.3 Pretrial Diversion Completed

When the defendant completes the program, update the LIONS criminal action as follows:

10.3.1 Charges previously filed

If charges were previously brought and the defendant successfully completes the pretrial diversion program, close the charges and include the following information for the defendant:

COUNT DISPOSITION BLOCK

Disposition Date = Date of Dismissal

Disposition = **DM** (Dismissed)

Disposition Reason = **PTDR** (Pretrial Diversion Completed)

10.3.2 No Charges Filed

If charges were never brought, and the defendant successfully completes the pretrial diversion program, close the criminal action using the procedures described in Chapter 6 - Criminal Updates and Closings of this manual, and include the following information:

COURT HISTORY/COURT PARTICIPANT BLOCK

Disposition = **DE** (Declined)

Disposition Reason = **PTDR** (Pretrial Diversion Completed)

Disposition Date = Date matter was declined

10.3.3 Close the Defendant Status Record

Close the Defendant Status Record using the following information:

| |
|-------------------------------|
| DEFENDANT STATUS BLOCK |
|-------------------------------|

| |
|-------------------------------------|
| Term Reason = CO (Completed) |
|-------------------------------------|

10.4 Program Not Completed Successfully

If the defendant does not successfully complete the pretrial diversion program, update the defendant status record to indicate that the defendant's status has changed and continue with the action. Modify the Defendant Status record, and include the following information:

| |
|-------------------------------|
| DEFENDANT STATUS BLOCK |
|-------------------------------|

| |
|-----------------------------------|
| Term Reason = RV (Revoked) |
|-----------------------------------|

| |
|--------------------------------|
| COUNT DISPOSITION BLOCK |
|--------------------------------|

| |
|--------------------------------------------------------------------------------------------------------------------------|
| Erase the disposition date, disposition, and disposition reason information from each count for each defendant involved. |
|--------------------------------------------------------------------------------------------------------------------------|

11 Reinstatement

11.1 Different Fiscal Year Rule

If a criminal action is closed in one fiscal year and needs to be reopened in a subsequent fiscal year, *DO NOT* reinstate the action. You *MUST* open a new criminal action in LIONS. Follow the procedures for opening a new criminal action in Chapter 5 - Criminal Initiation.

Optionally, you can add a Related Case Record to the new criminal action relating it back to the original criminal action. Instructions for completing a Related Case Record can be found in Chapter 6 - Criminal Initiation.

11.2 Same Fiscal Year Rule

If a criminal action is closed in a fiscal year and needs to be reopened in the same fiscal year, proceed as follows:

For defendants charged use the Count Disposition/Sentence Restitution form.

COUNT DISPOSITION/SENTENCE/RESTITUTION BLOCK

Highlight the appropriate court history record, **CTRL + PAGE DOWN** to the Disposition Count block and erase the disposition, disposition reason, and disposition date for each count. Save the record. The criminal case is now re-opened.

For defendants not charge use the Court History form.

COURT HISTORY/COURT PARTICIPANT BLOCK

Highlight the appropriate court history record, **CTRL + PAGE DOWN** to the Court Participant block and erase the disposition, disposition reason, and disposition date for each defendant as needed. Save the record. The criminal matter will be re-opened.

12 Remand for New Sentence

12.1 General Information

If the decision in an appeal is to remand the criminal action for a new sentence, close the appeal following the instructions in Chapter 8 - Appeals.

12.2 Modify Sentence

Make the necessary changes to the Sentence Record, but **DO NOT** change the Sentence Date. You might want to record the original sentence in the sentence comment field for historical preservation.

13 Remand for a New Trial

13.1 Open a new action

When an appeal is remanded from the Court of Appeals back to the District Court for a new trial or further proceedings, open a new criminal action. Follow the procedures for opening a new criminal action in Chapter 5 - Criminal Initiation.

14 Rule 20 Transfers

14.1 General Information

Rule 20 of the Federal Rules of Criminal Procedure allows a defendant who is arrested, held or present in a district other than that in which an indictment, information or complaint is pending, to state in writing a wish to plead guilty or nolo contendere. The defendant also waives trial in the district in which the prosecution was initiated and consents to disposition of the action in the district in which he was arrested, held or present, subject to the approval of the United States Attorney for each district.

14.2 Indictment or Information Pending

Upon receipt of the defendant's statement and of the written approval of the United States Attorneys in both districts, the Clerk of the Court in which the indictment or information is pending transmits the papers in the proceeding or certified copies thereof to the Clerk of the Court for the district in which the defendant wishes to enter a guilty or nolo plea.

14.2.1 Rule 20 Out - Transferring Office

Close the criminal action following the instructions in Chapter 6 - Criminal Updates and Closing, and include the following:

COUNT DISPOSITION BLOCK

Disposition Date = Date of the transfer

Disposition = TR (Transfer)

Disposition Reason = RTWD (Rule 20 from District Court)

The same information should be entered for the disposition of all pending counts.

14.2.2 Rule 20 In - Receiving Office

Open a new criminal action following the normal initiation procedures described in Chapter 5 - Criminal Initiation. Add the following instrument type:

INSTRUMENT BLOCK

Type = R2 (Rule 20)

14.2.3 Closing Procedures

Close the criminal action when the plea is entered and you are provided with the disposition and sentence information, and include the following:

COUNT DISPOSITION BLOCK

Disposition Date = Date of Plea

Disposition = GT (Guilty)

Disposition Reason = **PLED** (Plea in District Court)

14.3 Indictment or Information Not Pending

The defendant's statement of desire to plead guilty or nolo contendere, to waive venue and trial in the district in which the warrant was issued, and to consent to disposition of the action in the district in which the defendant has been arrested, held, or present, is subject to the approval of the United States Attorney for each district. Upon filing the written waiver of venue in the district in which the defendant is present, the prosecution may proceed as if venue were in such district.

14.3.1 Rule 20 Out - Transferring Office

To close the action following the instructions in Chapter 6 - Criminal Updates and Closing, and include the following:

COUNT DISPOSITION BLOCK

Disposition Date = Date of the transfer

Disposition = TR (Transfer)

Disposition Reason = **RTWM** (Rule 20 from Magistrate Court)

14.3.2 Rule 20 In - Receiving Office

If charges against the defendant are to be filed in District Court, docket this record in the same manner you would for any defendant who has been arrested on a complaint filed in Magistrate Court pending action in District Court. However, if the defendant is to be allowed to plead to the complaint in Magistrate Court, docket this record in the same manner as you would any offense in Magistrate Court. Refer to Chapter 5 - Criminal Initiation.

15 Rule 40 Proceedings

15.1 General Information

A Rule 40 hearing is conducted before a Magistrate in the following circumstances:

- A person is arrested in a district other than that in which an indictment, information or warrant is pending.
- A person is arrested for a violation of probation in a district other than the district having probation jurisdiction.
- A person is arrested on a warrant in a district other than that in which the warrant was issued, and the warrant was issued because of the failure of the person named to appear as required pursuant to a subpoena or the terms of his release.

15.2 Initiation Procedures

If a Rule 40 hearing is scheduled for a person arrested in your district and an AUSA spends one hour or more on it, open a Criminal action using a Court Type of **MM** (Magistrate Court - Miscellaneous). Rule 40 proceedings are considered matters even though an action may be pending in another district. Refer to Chapter 5 - Criminal Initiation for additional initiation information.

15.3 Closing Procedures

Upon a finding that the person before the Magistrate is the defendant or probationer named in the warrant, indictment or information filed in another district, close the criminal action with the following information:

COURT HISTORY/PARTICIPANT COURT BLOCK

Disposition - Enter **RE** (Removal)

Disposition Reason - Enter **RUFO** (Rule 40)

Disposition Date - Enter the date of the hearing

16 Unlawful Flight to Avoid Prosecution (UFAP)

16.1 General Information

It is common for state or local authorities to request that a U.S. Attorney's office seek a federal arrest warrant on a charge of Unlawful Flight to Avoid Prosecution (UFAP) for a defendant who has charges pending with the state or local authorities but has left the jurisdiction. The UFAP warrant is needed in order to get the FBI involved in searching for the defendant. The UFAP charges are usually dismissed or declined once the defendant is apprehended and back in the custody of state or local authorities.

16.2 Initiation Procedures

To open a UFAP, use the procedures described in Chapter 5 - Criminal Initiation, of this manual, and include the following information:

CASE BLOCK**Lead Charge = 18 :1073****DEFENDANT STATUS BLOCK****Defendant Status = FU (Fugitive)****16.3 Closing Procedures**

Procedures must be established to monitor pending fugitive matters so that they can be closed.

16.3.1 Complaint Filed

If a complaint was filed and charges subsequently dismissed use the procedures described in Chapter 6 - Criminal Updates and Closing of this manual, and include the following information:

COUNT DISPOSITION BLOCK**Disposition Date = Date of dismissal****Disposition = DM (Dismissed)****Disposition Reason = One of the following:****STAM** State Authorities from Magistrate Court**STAD** State Authorities from District Court.**16.3.2 Charges Not Filed**

If charges were never filed in court and the criminal action is declined use the closing procedures described in Chapter 6 - Criminal Updates and Closing of this manual, and include the following information:

Court History/Participant Court Block**Disposition = DE (Declined)****Disposition Reason = SPA (Suspect to be Prosecuted by Other Authorities)**

APPENDIX F – LIONS PASSWORD RULES AND SECURITY RESTRICTIONS

The following rules and restrictions apply to the creation and usage of passwords for LIONS users, beginning with version 4.7.0 of LIONS, in order to fulfill the guidelines outlined in Department of Justice (DOJ) Order 2640.2E pertaining to application security. The implementation is a partial one, taking into consideration that LIONS is an existing system that was not designed with the order in mind so implementing it in its entirety is not feasible at this point in time.

Passwords require a minimum of eight characters, composed of at least one alpha character, one numeric character, one special character, and having no more than one instance of sequences composed of the same character. Examples of the latter include **eggnogg1!** (gg repeats twice), **egregious_0** (eg repeats twice), **deedee-11** (dee repeats twice), **hooohoo123!** (hoo repeats three times).

The list of valid special characters are: ~ ! # \$ % ^ * () _ + { } | : < > ? ` - = () \ ; ' , . / \ (note that @, ", &, and a space are not in the list and cannot be used in a password). It is recommended that a single quote ' not be used, as the user will not be able to run reports with this character embedded in the password.

The password is not case-sensitive.

The database will keep a historical record of a user's six most recent passwords and not allow reuse, i.e., a password cannot be reused during the next six cycles when the user changes a password whereby they will be allowed to reuse that password on the seventh password change cycle.

The life time of password will be 90 calendar days.

Starting from seven days prior to the expiration of a password, the user will receive a warning message indicating that his or her password will expire in X days, with X being the number of days left before the password expires. The user will have the option to change the password then or at a later date.

Once the password expires (the user logs in for the first time after 90 or more days have elapsed since the password was changed), the user will be forced by LIONS to change his or her password.

Users created or whose passwords are reset will have a default password of LIONS123! They will be required by the application to change that default password upon their first login to LIONS.

Three consecutive failed login attempts to the database using the same username will result in that user being locked out of the database.

Users locked out of the database can only be unlocked by a system administrator.

Users cannot log into the database from more than one workstation at a time.

