

**Legal Information  
Office Network System  
User's Manual**

**Release 5.4.2**



Case Management Staff  
Executive Office for  
United States Attorneys  
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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.

Users **MUST** follow the detailed instructions in this manual in order to operate LIONS correctly.

The Case Management Staff of the Executive Office for United States Attorneys (EOUSA) **MUST** approve any deviation from these procedures.

### 1.1. LIONS 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.

LIONS data 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.

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

LIONS data 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 six modules as follows:

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

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

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

**Victim/Witness** – This function is performed by the Victim Notification System (VNS).

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

**Document Generation** - This function was performed by the VNS.

**Administration** - The **System Manager** uses this module to maintain codes and LIONS security.

### 1.3. Data Quality Control

Quality control with regard to data is not a simple matter. No single document or procedure can provide the expertise necessary to evaluate the information entered. Knowledgeable personnel (such as supervisory attorneys or lead legal clerks) should review reports to ensure that the district reports its data correctly and that the office is receiving credit for work being done.

Case Management Staff personnel are always available to assist with any inquiries about the district's caseload. **Reporting caseload information to EOUSA promptly and accurately is crucial to ensuring that EOUSA can properly evaluate the district's requests for additional manpower and other resources.**

**Error Edits/Lists** - One of the most important features of LIONS is the existence of "on-line" error edits. LIONS does not allow a required field to be skipped, and prevents entering invalid codes or dates.

**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 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, the number of cases 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. The reports reflect the quality of information in your database. Recipients should review reports to ensure accuracy.

### 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 and assumes a number of responsibilities related to the operation of desktop computers, laptops, network, Oracle and LIONS. The System Manager's duties include:

- Testing all personal computers upon network installation to ensure they are operational.
- Testing the database server after loading all system software to ensure error free operation.
- Distributing Release Notes or any other pertinent information sent out by Case Management Staff, troubleshooting program problems, and ensuring that system changes are implemented by the district.
- Ensuring the integrity of the databases, resolving processing failures, and notifying TechOne if the problem appears to be related to the LIONS programs.
- Serving as the district's point of contact with Case Management for the LIONS system.
- Distributing error lists and other reports from EOUSA immediately upon receipt.
- Establishing and maintaining user security, including passwords and profiles. Users **must** be deactivated in LIONS when they leave the office.
- Backing up Oracle applications on a regular basis, and ensuring that backups are stored off-site. LIONS 5.1 System Manager's Guide details backup procedures.
- Training users on computer security and LIONS.
- Maintaining local code tables in LIONS.
- Submitting global code changes to TechOne for Case Management Staff 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.

## 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 Reports 2.5. 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 only 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!** It must be changed immediately. Upon initial logon to the application, LIONS will force the user 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 **Save 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 shown in Figure 2-2.



Figure 2-2: LIONS Icon

The Oracle Logon screen shown in Figure 2-3 displays.

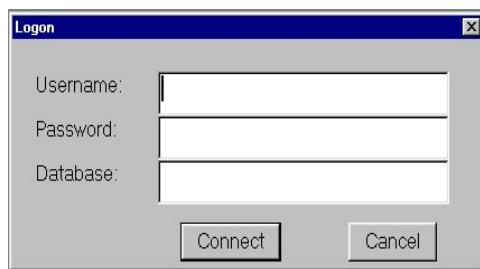


Figure 2-3: Oracle Logon Screen

Enter your LIONS username, password and database, and then click **Connect**. Use the **TAB** key to move between fields. The error message shown in Figure 2-4 appears if you enter an invalid Oracle username and/or password.



Figure 2-4: Invalid Username/Password Error Message

Click **OK** or press **ENTER** to acknowledge the message and display the LIONS logon screen.

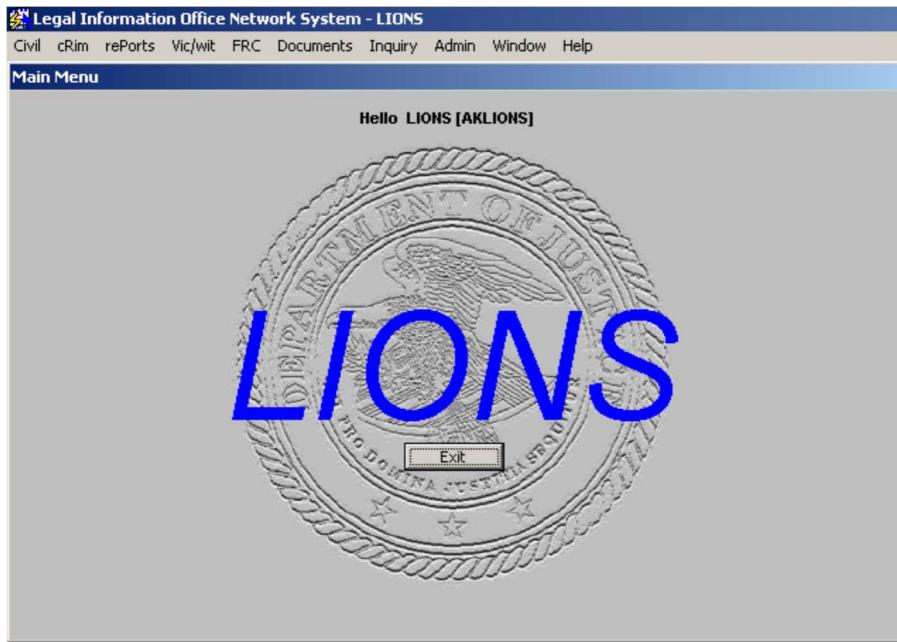
The error message shown in Figure 2-5 appears if you enter a valid username and password, but are not an authorized LIONS user. Click **OK** or press **ENTER** to acknowledge the message and display the EOUSA Distributed Oracle Applications program group.



Figure 2-5: Unauthorized LIONS User Error Message

Contact the **System Manager** for assistance.

Once you have successfully logged into LIONS, the LIONS Main Menu displays as shown in Figure 2-6.



**Figure 2-6: LIONS Main Menu Screen**

### 2.3. LIONS Main Menu

The following are components of this menu:

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

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

**Control Menu Bar** - restores or closes the application.

**Minimize/Maximize Button** - minimizes or maximizes the window.

**Exit Button** - exits the current window.

### 2.4. Selecting Main Menu 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 ▶, there is a 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 Main 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 screen, sent to a 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 function is now part of the Victim Notification System (VNS).

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

**Documents** - This function is now part of the VNS.

**Inquiry** - Allows users to locate files in LIONS when the system assigned USAOID is not known. For example, users can find files by searching on a name or partial name.

**Admin** (Administration) - This module is used primarily 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

**Toolbar** – Pictorial representations of functions in LIONS. If a function does not apply to a particular block, the icon will not appear. The toolbar, shown in Figure 2-7, is located along the left side of the screen.

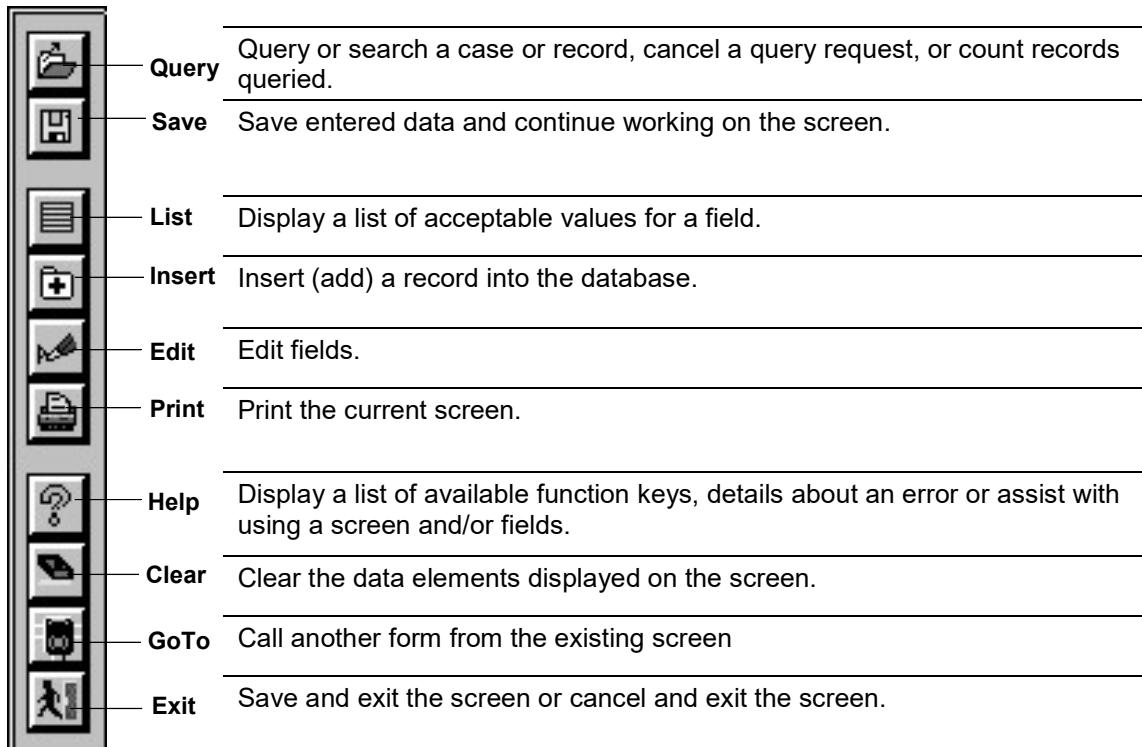


Figure 2-7: LIONS Toolbar

**Menu Bar** - Each screen in LIONS has a menu bar for performing functions particular to that screen

**Message Line** - LIONS displays information about the fields in the lower left corner of the screen (see Figure 2-8). For all fields requiring a code, the message will prompt the user to press **F9** to view the codes for that field (see Figure 2-9).



**Figure 2-8: Message Line**



**Figure 2-9: List of Values Prompt**

**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 enter spaces or dashes. Spaces convert to dashes when the date is saved. The month will default to upper case.

**Field** - A field is one element of information such as Received Date.

**Codes** - All codes (with the exception of charges) will default to uppercase.

Refer to Appendix A, *LIONS Code List* for a complete list of established codes.

**Non-Code fields** – Non-code fields. Data can be entered in upper, lower or mixed case. Where applicable, entries should be made in mixed case (upper and lower) as they will appear in documents.

**Record** - A record is a group of fields related to one another such as Case.

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

**List of Values (LOV)** - A list of acceptable values for a particular field. To access the LOV for a field:

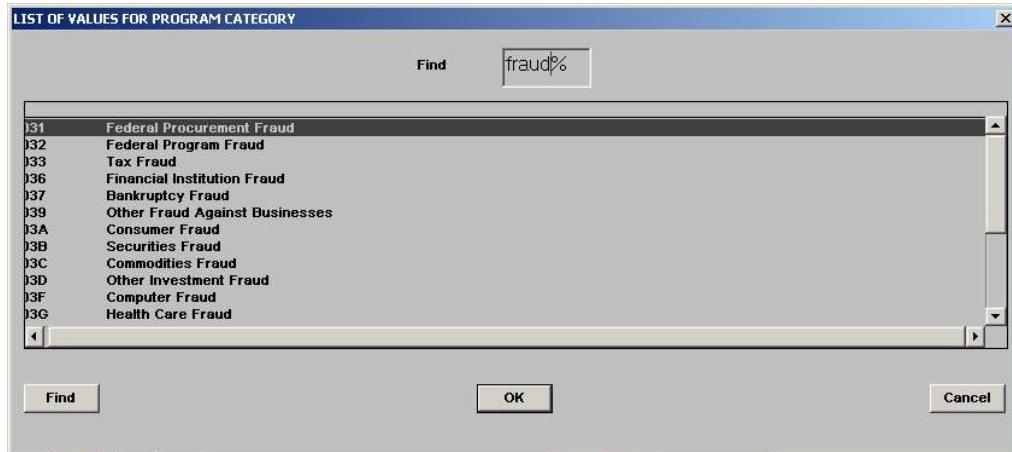
Press **F9**.

Press the List icon  .

Click on Help and select List from the menu.

**Find Value in LOV** - Search for codes by entering a word or string of words in the Find field of the LOV. For example, in the LOV for Program Categories shown in Figure 2-10, searching on the word "Fraud" returns all Program Categories with Fraud in the description. To search for a code,

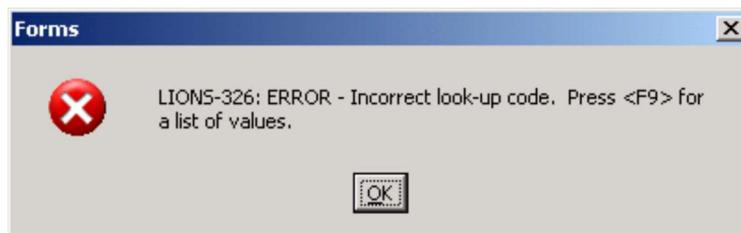
place the cursor after the % sign in the Find box. Type the word or string of words and press the FIND key.



**Figure 2-10: LOV Find Box**

**Check Boxes** - An option field indicated by .

**On-line Edits** - LIONS contains edits that ensure the integrity of the data by preventing the user from entering incorrect data. For example, if you enter a code in an LOV field, LIONS will automatically check the value entered against the LOV table and send an error message if the code is not found in the LOV table. A sample of an error message is shown in Figure 2-11.



**Figure 2-11: On-line Edits Error Message**

**Preset Data** - LIONS will pre-populate certain pieces of information with default values. Most default values can be changed. Those that cannot be changed are so noted.

**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** – Used to relate participants in a case. For example, when the user creates a record relating a defendant to a piece of property, LIONS automatically creates a matching Related Participant record linking the property back to the defendant.

This feature is also used to relate cases. For example, when a criminal case that involves forfeitures is related to a companion civil forfeiture case, the user creates the first Related Case record linking the criminal case to the civil case. LIONS automatically 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** to move forward through fields.

**SHIFT + TAB** to move backward through fields.

Moving from Block to Block:

**CONTROL + PAGE DOWN** to move forward through the blocks.

**CONTROL + PAGE UP** to move backward through the 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. Examples of the basic blocks are shown in Figure 2-12.

**Figure 2-12: Basic Block**

**Stacked block** - A stacked block contains multiple records of information indicated by a counter in the upper right corner. Only one record can be viewed at a time. The counter indicates the number of records in the block and the relative position of a record in the stack. The **DOWN**

**ARROW** accesses successive records. The **UP ARROW** accesses previous records. The **RELIEF** block shown in Figure 2-13 is an example of a stacked block.

The screenshot shows the LIONS - RELIEF application window. At the top, there's a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu is a toolbar with icons for file operations like Open, Save, Print, and Help. The main area is titled 'CASE' and displays USAOID: 2006V00088, Caption: US v. Patricia Ann Franklin, and Status: A. A 'RELIEF' section contains fields for Type (Monetary), Stage (Requested), Requested By (Government), Liability (Individual), Amount (35,899.83), Nonmonetary, and Agency (AGSF Rural Development Agency/Single Family Housing/SCS). Below this is a 'PARTICIPANT RELIEF' section with a scrollable grid showing one record: D Franklin, Patricia Ann. The bottom of the screen shows the date FRI,04-AUG-2006 and navigation keys <S><U><I><D>.

Figure 2-13: Stacked Block

**Scroll block** - A scroll block contains multiple records displayed in rows on the screen. Multiple records can be viewed simultaneously. Scroll bars on the right side of the block are used to navigate through the records. The **DOWN ARROW** key accesses the next record; the **UP ARROW** key accesses the previous record. The **PARTICIPANT** block shown in Figure 2-14 is an example of a scroll block.

The screenshot shows the LIONS - PARTICIPANT INFORMATION application window. The menu bar and toolbar are similar to Figure 2-13. The main area is titled 'CASE' and displays USAOID: 2007, Caption: US V, and Status: C. A 'PARTICIPANT' section contains a 'DISPOSITION (READ ONLY)' grid. The grid has columns for T, Ro, Def, Cl, Co, Name, LOWER COURT (Di, Reas, Disp Date), and APPEAL COURT (Di, Reas, Disp Date). The first row shows D Franklin, Patricia Ann with disposition details: CW AWCP 20-MAY-2008. The bottom of the screen shows the date MON,23-MAR-2009 and navigation keys.

Figure 2-14: Scroll Block

**Skipping Participant Blocks** - Clicking on **Skip** near the bottom of the screen will skip all of the participant blocks at one time.

**Moving from Page to Page** - After entering information in a page of a multi-page form, move to the next page by pressing the TAB or ENTER key in the last field of the screen, or by pressing to go to the next page. To go to the previous page, press SHIFT + TAB in the first field on that screen or press .

## 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 assigned keys as shown in Figure 2-15. Use the scroll bars to move through the list.

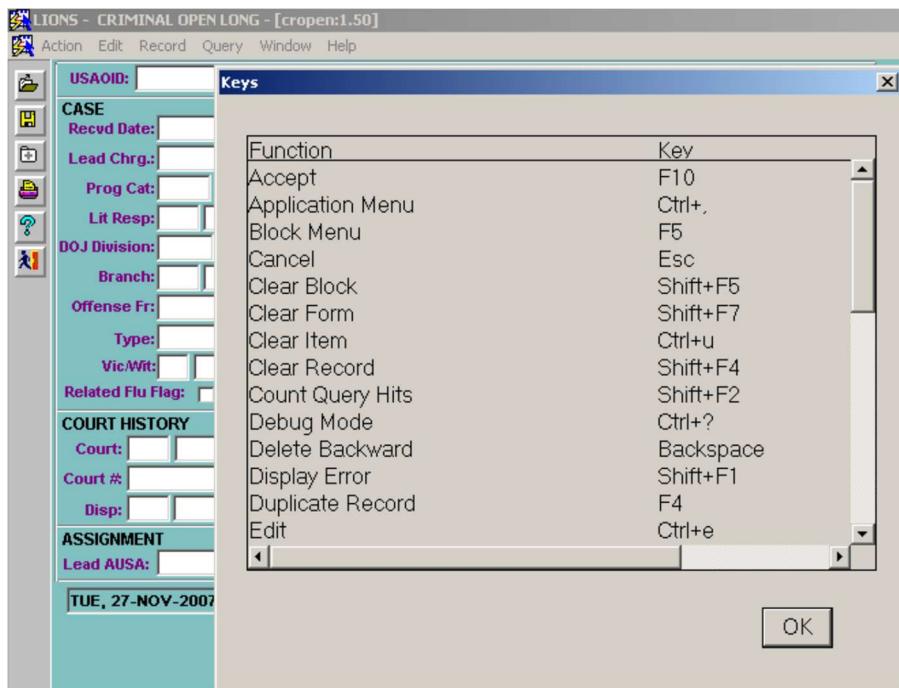


Figure 2-15: Function Keys

## 2.9. Case Summary Option

The Case Summary screen can be used to update information about a Civil or Criminal matter or case.

Select **Civil or Criminal Case Summary** from the LIONS Main Menu as shown in Figure 2-16.

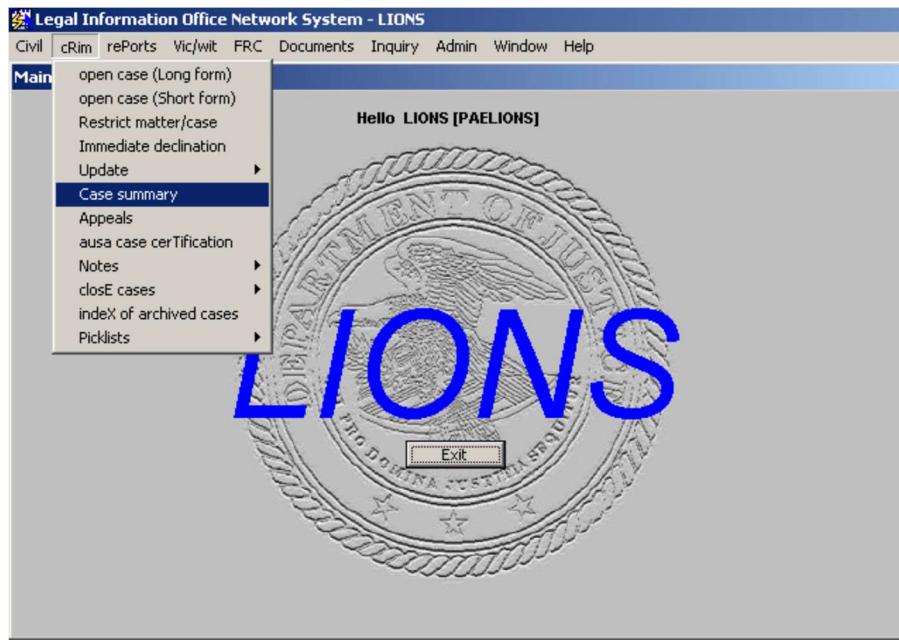


Figure 2-16: Case Summary

The Case Summary screen shown in Figure 2-17 will open.

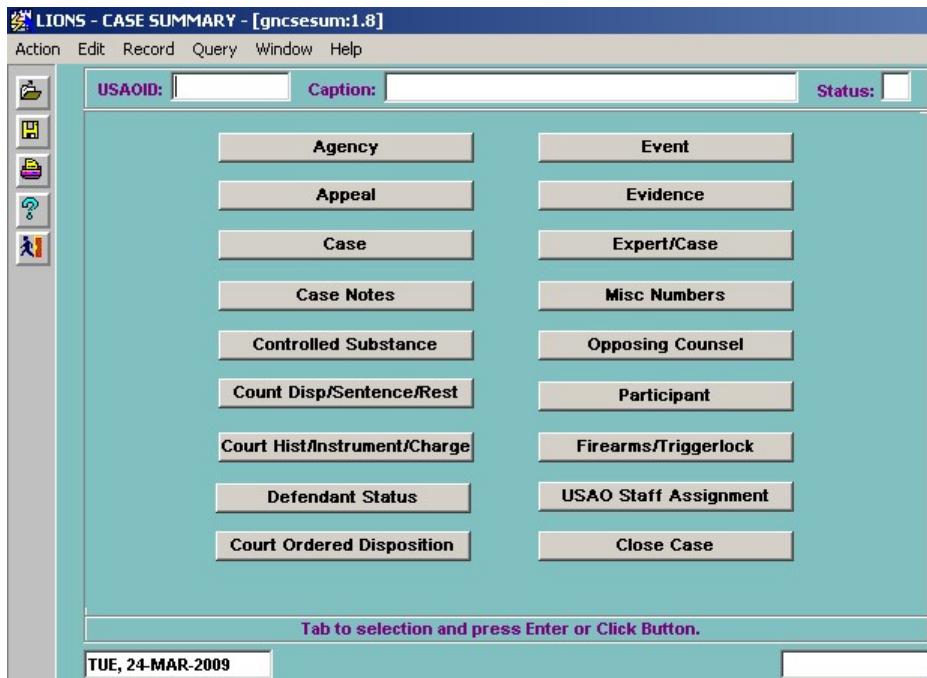


Figure 2-17: Case Summary Screen

Enter a **USAOID** or tab to the Caption field and enter the defendant or litigant's name as it appears in the Case Caption.

Press **F8**.

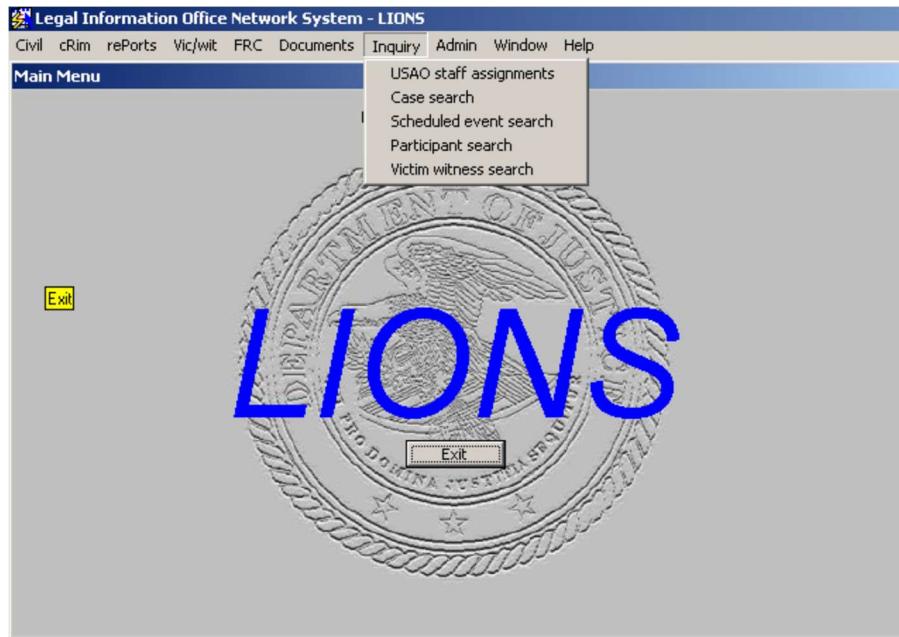
Click on the record to be updated.

If security permissions do not allow access to a record, the name of the record will be “grayed out”.

When all updates to a record are completed, save the changes and click the **Exit** icon to return to the Case Summary screen.

## 2.10. Inquiry Option

The Inquiry module in LIONS gives users the ability to find cases when the system-assigned USAOID is not known. To access the Inquiry module, select Inquiry from the LIONS Main Menu as shown in Figure 2-18.



**Figure 2-18: Inquiry**

**USAO Staff Assignments** - Search for matters or cases by staff initials or staff initials and position.

**Case Search** - Search for matters or cases using one of a variety of numbers in LIONS associated with the matter or case (Agency File Number, Court Number, Grand Jury Number, etc.)

**Scheduled Event** - Search for matters or cases based on a scheduled event. The search can include all scheduled events, or only those associated with a staff member assigned to a matter or case in LIONS.

**Participant Search** – Search for files based on all or part of a participant’s name or on a number associated with a participant (Social Security Number, EIN, etc.)

**Victim/Witness** – Search for files with Victim/Witness participant roles.

## 2.10.1. The USAO Staff Assignment Search

Selection criteria for a staff assignment search are staff initials, staff initials and position, and only open cases as shown in Figure 2-19.

**Figure 2-19: Staff Assignment Search**

**Initials** – Press **F9** and select the initials for a particular staff member.

**Position** - Press **F9** and select the appropriate Position code. To search for all files for a staff member regardless of position in the matter/case, leave the Position field blank.

**Do you want to query only open cases?** - A **Y (Yes)** response will query only open cases. To see all matters and cases for a staff member leave the checkbox blank.

**Execute** – Press **F8** to execute query or select **Query, eXecute** from the menu bar.

Press **F3** to go to the **Case Summary** screen for the highlighted record.

LIONS will return all matters/cases for the staff member where the End Date in the Assignment Record is blank.

## 2.10.2. Case Search

Selection criteria for a case search are Agency File Number, Court Number, DOJ Division Number, DCMNS Number, FRC Number or Grand Jury Number.

Enter a relevant number or partial number followed by the %. For example, searching a Court Number using 123% will return all records that have a Court Number beginning with 123 as shown in Figure 2-20.

The screenshot shows the LIONS - CASE SEARCH interface. At the top, there are search fields for Agency #, Court # (containing '123%'), DOJ #, DCMNS #, and Grand Jury #. Below these are several buttons: a magnifying glass, a person icon, a folder icon, a question mark icon, and a person icon. The main area is a grid table with columns: USAOID, Caption, Prog Cat, Cause Act, Stat, Lead AUSA, Court, and Court #. The first row highlighted in blue contains the data: USAOID 2007V00712, Caption John Smith vs IRS, Prog Cat CO, Cause Act A, Stat AFG, Lead AUSA DC, Court 12345, and Court # 123456. Other rows show entries like 2007R01216, 2007R01217, and 2007R01186. At the bottom, a message says 'Move highlight bar to record and press <F3> to GOTO the Case Summary screen.' and the date MON, 26-NOV-2007.

**Figure 2-20: Case Search**

Click the cursor on the desired record to highlight it.

Press **F3** or click the Go To button to go to the **Case Summary** screen for the highlighted record.

### 2.10.3. Scheduled Event Search

Selection criteria for a scheduled event search are staff initials and/or date range.

To return all scheduled events for all staff members for a date range, enter only a date range as shown in Figure 2-21. LIONS will return all matters/cases where the scheduled event falls within the date range and the staff field is blank.

The screenshot shows the LIONS - EVENT SEARCH interface. At the top, there are search fields for Staff (containing ' '), Date Range From (01-OCT-2008), and To (01-JAN-2009). Below these are several buttons: a magnifying glass, a person icon, a folder icon, a question mark icon, and a person icon. The main area is a grid table with columns: USAOID, Caption, Prog Cat, Cause Act, Scheduled Date, Staff, Event Type, and Action. The first row highlighted in blue contains the data: USAOID 2007, Caption ' ', Prog Cat 01Z, Cause Act ' ', Scheduled Date 01-JAN-2009, Staff BRSE, Event Type STLM, and Action ' '. Other rows show entries like 2002, 2008, 2008, 2008, 2008, 2008, 2008, 2008, 2005, 2004, 2007, 2008, and 2008V01536. At the bottom, a message says 'Move highlight bar to record and press <F3> to GOTO the Case Summary screen.' and the date TUE, 24-MAR-2009.

**Figure 2-21: Scheduled Event Search – Date Range**

To return all scheduled events for a staff member enter only staff initials as shown in Figure 2-22.

The screenshot shows the LIONS - EVENT SEARCH interface. The 'Staff' field contains 'AK'. The 'Date Range From' and 'To' fields are empty. The main grid displays 15 rows of event data:

USAOID	Caption	Prog Cat	Cause Act	Scheduled Date	Staff	Event Type	Action
2001		033		23-FEB-2009	AK	SENT	TK
2008		06E		06-FEB-2009	AK	SENT	TK
2008R		06E		06-FEB-2009	AK	SENT	TK
2008R		06E		06-FEB-2009	AK	SENT	TK
2008R		090		20-JAN-2009	AK	JTRI	TK
2007R		082		07-JAN-2009	AK	SENT	CN
2008R		090		20-DEC-2008	AK	STHR	TK
2007R		03L		18-DEC-2008	AK	SENT	FI
2008R		033		10-DEC-2008	AK	SENT	CN
2008R		033		08-DEC-2008	AK	SENT	TK
2008R		033		31-OCT-2008	AK	CHPL	TK
2008R		036		28-OCT-2008	AK	JTRI	TK
2008R		036		20-OCT-2008	AK	STHR	CN

Move highlight bar to record and press <F3> to GOTO the Case Summary screen.  
TUE, 24-MAR-2009

Figure 2-22: Scheduled Event Search – Initials

To return all scheduled events for a staff member for a specific date range, enter staff initials and date range as shown in Figure 2-23.

The screenshot shows the LIONS - EVENT SEARCH interface. The 'Staff' field contains 'Smith'. The 'Date Range From' field contains '01-JAN-2008' and the 'To' field contains '01-JAN-2009'. The main grid displays 15 rows of event data:

USAOID	Caption	Prog Cat	Cause Act	Scheduled Date	Staff	Event Type	Action
2007		01Z		01-JAN-2009	BRSE	STLM	
2002			FR	31-DEC-2008	LIPA	ALBR	TK
2008			SSDA	31-DEC-2008	SCSP	PASR	TK
2008			SSDA	31-DEC-2008	MMK	PASR	TK
2008			SSDA	31-DEC-2008	MMK	JSPF	TK
2008		040		30-DEC-2008	LSM	JTRI	CN
2008			SSDA	30-DEC-2008	DEHASS	ACOM	TK
2005			TX	30-DEC-2008	DOFO	DISD	TK
2004		047		30-DEC-2008	LARZ	SENT	CN
2007			EAJA	30-DEC-2008	RWC	CTRI	TK
2008			SSDA	30-DEC-2008	MMK	JSPD	TK
2008			SSDA	30-DEC-2008	MMK	JSPD	TK

Move highlight bar to record and press <F3> to GOTO the Case Summary screen.  
TUE, 24-MAR-2009

Figure 2-23: Scheduled Event Search – Initials and Date Range

Click the cursor on the desired record to highlight it and press **F3** or select the Go To button to go to the **Case Summary** screen for the highlighted record.

## 2.10.4. Participant Search

Selection criteria for a participant search are participant name or a number associated with the participant (SSN, Marshal's Number, etc.).

The broader the search parameters, the more likely it is that the matter/case will be found. For example, entering a last name will return a greater number of matters/cases than entering a last and first name.

Selecting **Spelling Match** in the **Name Matching** block will return only the names with the exact spelling. Selecting **Sounds Like** in the **Name Matching** block will return all names with similar vowel sounds.

LIONS does a "soundex" search on the name field for similar vowel sounds. A search for Smith will return Smith, Smithe, Smythe, Schmidt, etc., as partially demonstrated in Figure 2-24.

Participant	USAOID	Alias	Stat Role	AUSA	Court	Court #
SAINT			C D	CRL	CA	CA 97-50151
MORA		SAINT	C	RCP	CA	CA 05-50877
SAMMUT			C D	NOR	MG	01-121M
SAMODIO			C D	ACH	NC	
SANATI			C D	PS	DC	CR 04-103
SAHATI			C D	BKS	NC	
SANDHU			A P	KBF	DC	EDCV 07-0066
SANDHU			A D	DEWI	MM	0000000
SANDHU			C D	RYLE	NC	
SANDHU			C D	RYLE	DC	SACR 02-6

Figure 2-24: Participant Search — Name

To search on a number field, enter a number associated with the participant, or a partial number followed by the %. For example, searching SSN# using **105%** (as shown in Figure 2-25) will return all participant records that begin with 105 in the SSN# field. The percent symbol (%) acts as a wildcard.

LIONS - PARTICIPANT SEARCH - [gnprsrch:1.6]

Action Edit Record Query Window Help

Last Name:		First:		Name Matching				
FBI #:		SSN #:	105%	<input type="radio"/> Spelling Match	<input checked="" type="radio"/> Sounds Like			
CATS #:		EIN #:		Explanation				
PDID #:		Marshals #:						
Participant	USAOID	Alias		Stat Role	AUSA	Court	Court #	
AUSTIN				C	P	LBA	BC	SV 97 1611
AZZARA				A	D	MCAR	DC	07-CR-00544
CACI				C	D	SGL	DC	CR 95-347
HOWARD				C	DD	BD	DC	ED970047
SAHO				A	D	TRWI	DC	CR 02-1290
THOMPSON				A	D	CRL	DC	SACR 04-301

Move highlight bar to record and press <F3> to GOTO the Case Summary screen.

MOH, 04-MAY-2009

**Figure 2-25: Participant Search – Number**

## **2.11. Reports Option**

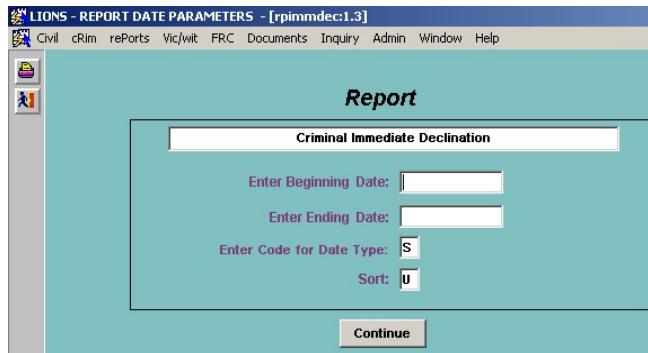
To request a report, select **Reports**, **Civil** or **Criminal** from the LIONS Main Menu, then select the type of report as shown in Figure 2-26.



**Figure 2-26: Request Report**

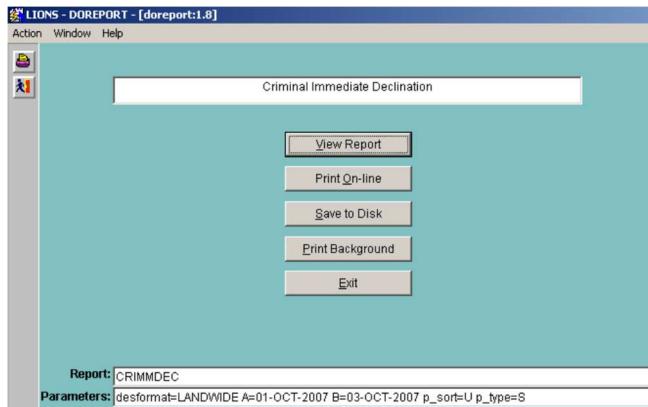
The Report screen shown in Figure 2-27 will display.

Enter a Beginning Date and Ending Date for the reporting period and press Continue.



**Figure 2-27: Report Parameters**

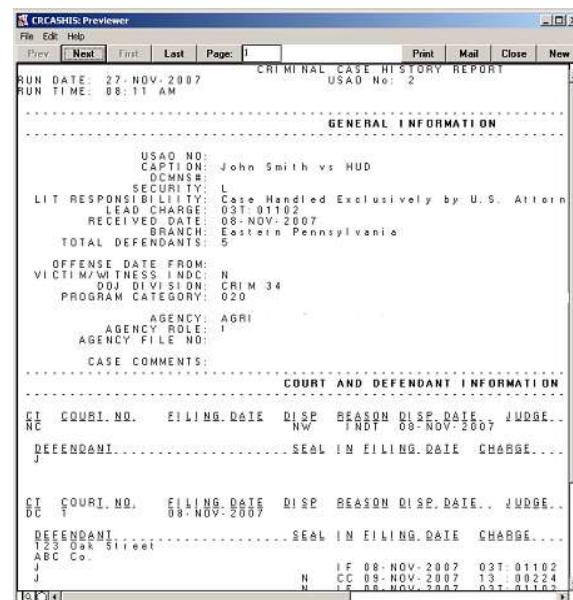
The Report Options screen shown in Figure 2-28 will display.



**Figure 2-28: Report Disposition Options**

Click **View Report** or press **V + ENTER** to view the report.

The generated report displays as shown in Figure 2-29.



**Figure 2-29: View Report On-line**

Use the right scroll bar to move up and down through the report; use the bottom scroll bar to move left to right.

Click **Next** to go to the next page; click **Prev** to go to the previous page.

Click **First** to go to the first page of a report; click **Last** to go to the last page.

Enter a page number and click **Page** to go to the specified page.

Click **Close** to exit the report screen.

The **Print** option on the **Previewer Screen** does **NOT** format the report correctly.

To print reports:

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

Click **Save to Disk** 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 **Print Background** or press **P + ENTER** to generate the report. The report will automatically print to your Windows assigned printer.

### 2.11.1. Report Server

Requested reports are downloaded to the Reports Server. Two buttons are added to the bottom of the screen as shown in Figure 2-30. Clicking on the **Reports Server** button displays the requested reports and their status in the server queue as shown in Figure 2-31. Clicking on the name of the report opens the report for online review.

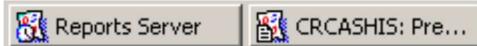


Figure 2-30: Report Server Button

Rank	Report	Status
1	GNEXPSHO	In Previewer
2	CRDEFIND	Waiting

Figure 2-31: Report Server Screen

### 2.12. Quitting LIONS

Click the **×** button in the upper right corner of the window OR return to the LIONS Main Menu and click the **Exit** button. Click **OK** in the Exit dialog box shown in Figure 2-32.



Figure 2-32: LIONS Exit Dialog

## 3.0 CIVIL INITIATION

A civil action is initiated in LIONS when a new civil file is received in the United States Attorney's Office. This chapter provides instructions for opening and managing civil cases in LIONS using a series of screens to collect and maintain detailed information concerning the following:

**Case** - Provides an overview of the status of the civil action. Includes 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. The record tracks the court and its location, as well as the Judges associated with the civil action. It also ties information together about the attorneys and other parties associated with each court stage. Prior to any filing, a record is opened as **NC** (Not In Court). Court Location is a Local Code assigned by the Districts.

**USAO Staff Assignment** - Tracks the Lead AUSA and other staff members assigned to a civil action. At a minimum the Lead AUSA must be tracked. Additional attorneys, paralegals, etc and their position can be entered, as desired. Position codes are established by the Districts with the following exceptions:

- C** Co-Counsel
- L** Lead Attorney
- V** Victim Witness Coordinator

**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 and other parties to a civil action. At a minimum, the lead litigant's name must be entered. In addition, certain information can be entered such as demographics, addresses, and phone numbers.

**Opposing Counsel** – Tracks the opposing counsel at each stage of a civil action.

**Relief** - Tracks the history of relief in a civil action, from estimated to final judgment.

**Event** – Tracks events tied to court stages and to specific parties. Districts can track the status of the civil action, create a calendar, and generate standard documents through the event record.

**Related Cases** – Participant or case records linked to show relationships among participants or cases. For example, a criminal case that involves forfeitures that are related to a companion civil forfeiture case. When the Related Case record is entered linking the criminal case to the civil case, LIONS creates the Related Case record linking the civil case back to the criminal case.

**Case Notes** – Ancillary information about the civil action. This form was designed for AUSAs who want to maintain a summary of the civil action.

**Experts** - Tracks the names, specialties, and addresses of experts used in litigation by either the Government or opposing parties. Also provides a record of comments.

Samples of the data entry screens are included. Many of the fields in the various data entry screens require codes selected from a List of Values (LOV). The LOV for any field can be accessed by pressing **F9**.

*Chapter 4, Civil Updates and Closings* contains detailed information on updating civil actions in LIONS. *Chapter 8, Appeals* contains detailed information associated with appeals.

A complete list of LIONS codes is available in *Appendix A – LIONS Code List*. Detailed coding procedures for the following civil case types and situations are in *Appendix E, LIONS Coding Policies*:

## 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. Definitions

**Matter** - A referral on which an attorney spends one hour or more and for 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 a district court, are *NOT* appeals because they are filed in District Court. Refer to Chapter 8, Appeals, for instructions on opening an appeal.

**Complaint** - The initial pleading filed by the plaintiff in a civil action. It includes a statement of facts and the relief requested.

### 3.2. Immediate Declinations

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

### 3.3. Initiate a Civil Record

Initiate a civil record 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.

A collection matter referred from the National Central Intake Facility for which the Financial Litigation Unit or Asset Recovery Staff is responsible. These include Department of Education student loans, Veterans Administration benefit overpayments, etc., on which the USAO spends an hour or more of time.

Adversary Proceeding. (See *Appendix E, LIONS Coding Policies Bankruptcy* for information about entering Adversary Proceedings.)

A civil action is re-opened in a different fiscal year. (See *Appendix E, LIONS Coding Policies Reinstatements* for information about entering reopened cases.)

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

Do **NOT** initiate a civil record for:

**Collection matters** for which private counsel is responsible.

**Prejudgment bankruptcy cases and foreclosures** where the U.S. is the plaintiff, entered directly into CDSCS. **NOTE:** At local option, these cases can be initially entered as 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** when 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.

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

### 3.4. 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 track 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.

### 3.5. Civil Initiation Procedures

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.

The **Civil Long Form** long form takes longer to complete, but captures more information; e.g., multiple cause of action codes, related civil action information, individual participant information, aliases, and comments. You must tell LIONS which participants are related to which events and relief. 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:

Select **Civil, Open Case (Short form)** from the LIONS Main Menu or press **ALT + C**.

OR

Select **Civil, Open case (Long form)** from the LIONS Main Menu or press **ALT + L**.

### 3.6. Open Case (Short Form)

- **Caption** - Enter a reference name for the civil action in accordance with local procedures.
- **TAB** or **ENTER**. LIONS will automatically generate a USAOID number.

As shown in Figure 3-1, the **Recvd Date** defaults to the current date and LIONS pre-populates the **Litigating Responsibility** and **Branch** fields. If the data in any of these fields is incorrect, click in the field and enter the correct data.

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

Figure 3-1: Civil Short Form, Page 1

#### 3.6.1. Case

**Recvd Date** (Received Date) - Enter the date the civil action was received in the office. The date cannot be later than the current date. The format for all dates is **DD-MMM-YYYY**. When entering the date, spaces can be entered in place of the dashes. Spaces are converted to dashes when the record is saved.

**Cause Act** (Cause of Action) – Press **F9** and select the code that best describes the civil action. See *Appendix A – LIONS Code List* for a complete list of Cause of Action Codes.

**US Role** – Press **F9** and select the code that describes the government's position in the civil action.

**Lit Resp** (Litigating Responsibility) - LIONS defaults to **US** (Case Handled Exclusively by US Attorneys Office). If this is incorrect, Press **F9** and select the code for the litigating responsibility.

**DOJ Division** – If a DOJ Division code has been provided, enter that code even if the Litigating Responsibility is **US**. If no code has been provided, press **F9** and select the appropriate DOJ Division code.

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

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.

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.

**DOJ #** - If a DOJ Division has been entered, enter the number assigned to the file by DOJ.

**Case Restrict** (Case Restricted) – Press **F9** and select **Y** (Yes) to restrict case access to a certain group of users. Otherwise, select **N** (No). You must be a member of a group in order to restrict case access to that group.

If **Restrict** is **Y (Yes)**, the message shown in Figure 3-2 will display.



**Figure 3-2: Case Restricted Error Message**

Click **OK** to open the **STAFF GROUP** form shown in Figure 3-3.

Name	Description
LIONS1	LIONS Staff Group One

**Figure 3-3: Staff Group Form**

**Staff Groups** – Press **F9** and select the group to which the civil action is restricted.

Press the **Exit** icon to return to the **CASE** block.

**Branch** - LIONS defaults to the Branch of the person entering the information. If incorrect, press **F9** and select a Branch code.

**Weight** – Press **F9** and select a code that defines the complexity of the civil action for assignment purposes.

**Unit** – Press **F9** and select the code(s) for the group within the office responsible for the civil action.

**Security** – Press **F9** and select a code that describes the level of security for the case.

**Spec Proj** (Special Project) - The EOUSA has established a series of codes for certain types of cases being monitored by its Legal Programs (Priority Programs Team). The codes in this field are used to produce the special reports needed by the team. Press **F9** and select the code of the special project category.

**Type** – Press **F9** and select the case type. The code should further describe the nature of the case.

**Qui Tam Flag** – If Cause of Action is a Fraud code, press **F9** and select **Y (Yes)** or **N (No)** as appropriate.

**Vic/Wit** (Victim/Witness) – Press **F9** and select **Y (Yes)** or **N (No)** as appropriate. This field flags civil actions with victims/witnesses to be tracked by a Victim/Witness Coordinator.

Press **CONTROL + PAGE DOWN** to go to the **COURT HISTORY** block.

### 3.6.2. Court History

**Court** (and Court Location) – Press **F9** and select the Court Code. Court Location can be entered, if applicable. Court Location is a local code established by your District. (LOV)

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

**App Type** (Appeal Type) - This field is 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 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.

A **Filing Date** or **Service Date** **MUST** be entered for a civil action filed in any court.

**Judge** – Press **F9** and select the initials of the Judge hearing the civil action, if applicable.

To add a Judge to the Judge Picklist:

Press **F3** to access the Judge Picklist shown in Figure 3-4.

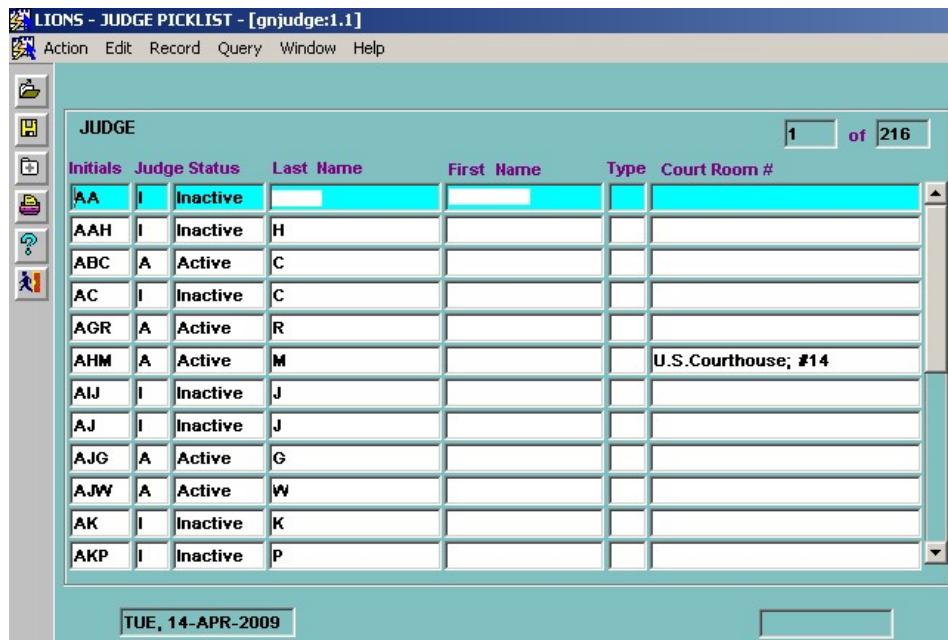


Figure 3-4: Judge Picklist

DOWN ARROW to a blank line in the Judge Picklist or press **F6** to add a blank line.

Enter information for the new Judge.

Press the **Exit** icon to return to the Court History block.

The Judge is now included in the Judge Picklist and the LOV as shown in Figure 3-5 and Figure 3-6, respectively.

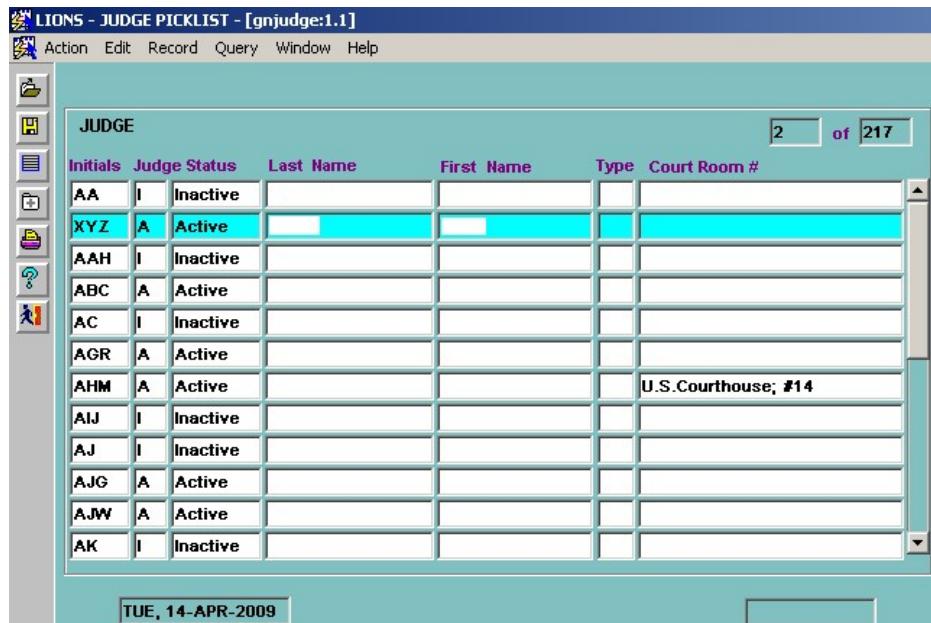
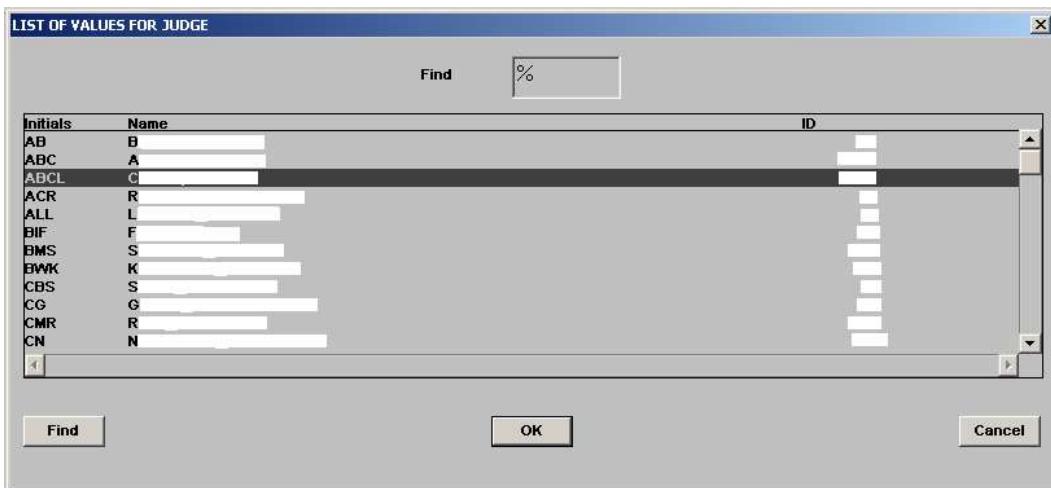


Figure 3-5: Updated Judge Picklist



**Figure 3-6: Updated Judge LOV**

See *Chapter 4, Civil Updates and Closings, Section 4.16.4, Judge* for additional information on the Judge Picklist.

**Start Date** - If a Judge is entered, the Start Date defaults to the current date. If incorrect, enter the date the Judge was assigned to the civil matter.

Press **CONTROL + PAGE DOWN** to go to the **COURT/STAFF ASSIGNMENT** block.

### 3.6.3. Court/Staff Assignment

**Lead AUSA** – Press **F9** and select the initials for the Lead AUSA assigned to the civil action. The AUSA's name will be filled in based on the initials selected. The Position field for the first entry defaults to L (Lead). Only one active L (Lead) is allowed.

**Start Date** - LIONS defaults to the current date. If incorrect, enter the date the Lead AUSA was assigned.

Press **CONTROL + PAGE DOWN** to go to the **AGENCY** block.

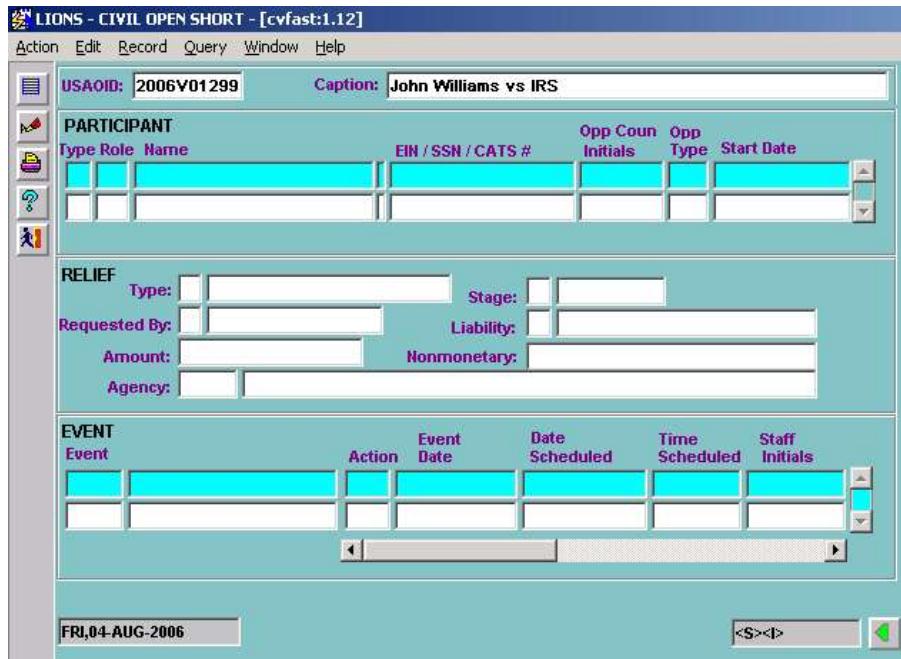
### 3.6.4. Agency

**Agency** – Press **F9** and select the client agency that referred the civil action. At a minimum, one client agency must be entered.

**Agency Office (READ ONLY)** - If the agency has more than one location, select the appropriate location from the LOV. Agency Office is a Local Code assigned by the Districts.

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

Press **CONTROL + PAGE DOWN** or press  to go to the **PARTICIPANT** block shown in Figure 3-7.



**Figure 3-7: Participant**

### 3.6.5. Participant

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

**Type** – Press **F9** and select the code that best describes the participant.

Individual

Business/Organization

Property

**Role** – Press **F9** and select the code that best describes the participant’s role in the civil action (P for Plaintiff, for example).

**Name** - If the **Type** is **I** (Individual), a pop-up block displays to prompt for the last name and first name. Enter the Individual Participant’s first and last names.

If the participant Type is **B** (Business) or **P** (Property) enter the business or property name in the field.

If the name search feature is activated, LIONS will search the database to alert the user that another case involving the participant already exists. To enable the search feature, contact your System Manager.

**EIN/SSN/CATS** - Enter the IRS **EIN** (Employer Identification Number) for a **Business** participant; enter the **SSN** (Social Security Number) for an **Individual** participant; enter the **CATS** (Consolidated Asset Tracking System) number for a **Property** participant.

**Opp Coun Initials** (Opposing Counsel Initials) – Press **F9** and select the initials of the opposing counsel.

**Opp Type** (Opposing Counsel Type) – Press **F9** and select the code that describes the type of counsel for the defendant.

**Start Date** - Enter the start date for the Opposing Counsel.

If necessary, press **F6** to insert additional rows, or press the **DOWN ARROW** to go to a blank line to add subsequent participants.

Press **CONTROL + PAGE DOWN** to go to the **RELIEF** block.

### 3.6.6. Relief

**Type** – Press **F9** and select the type relief 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) for civil initiations. A **Requested** stage is required when a civil action is opened. (LOV)

**D** Denied

**E** Estimated

**G** Granted

**O** Ordered

**R** Requested

**Requested By** – Press **F9** and select a code for the Participant seeking Relief. 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)

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

**Liability** - If only one participant is entered, LIONS defaults liability to **I** (**Individual**). If multiple participants are entered, LIONS defaults the liability to **J** (**Joint and Several**).

**Amount** – Enter a value for the relief being sought.

If **Type** is **M** (Monetary) or **B** (Both Monetary and Nonmonetary):

- Enter the dollar amount of monetary relief being sought. The maximum amount is 999,999,999,999.99. Do not enter a dollar sign (\$).
- If **Type N** (Nonmonetary), the cursor skips over this field.

If **Type** is **N** (Nonmonetary) or **B** (Both Monetary and Nonmonetary):

- Enter a description of the nonmonetary relief being sought.
- If Type is **M** (Monetary), the cursor skips over this field.

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

Press **CONTROL + PAGE DOWN** to go to the **EVENT** block.

### 3.6.7. Event

The Event block is a scrollable block. Use the scroll bar at the bottom of the block to view all fields in the block and to move back and forth within the block.

If an **Event** is entered, an **Event Date** or a **Scheduled Date** **MUST** be entered.

**Event** – Press **F9** and select the code that best describes the event.

**Action** – Press **F9** and select the code that describes the status of the event.

**Event Date** - Enter the date the event occurred. When scheduling an event, leave this field blank.

**Date Scheduled** - Enter the date an event is scheduled to occur. Scheduled Dates appear on staff members' calendar reports. Scheduled dates must be later than the current date.

**Time Scheduled** - Enter the scheduled time for the event. Scheduled time will appear on staff members' calendar reports.

**Staff Initials** - LIONS will default to the initials of the Lead AUSA. If this is incorrect, press **F9** and select the correct staff initials.

**Doc Code** (Document Code) – Press **F9** and select the document number. Used by document generation. See *Chapter 9, Overview of Document Generation* for more information.

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

**Document Date** – LIONS defaults to the current date. This field 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 event or scheduled event.

**Judge INIT** (Initials) – Press **F9** and select the initials of the Judge involved in the event or scheduled event.

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

After entering the judge's last name, an Event Comments block will display as shown in Figure 3-8.

Figure 3-8: Event Comment Pop-up Screen

**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 pull-down menu.

To enter another event, press **F6** to insert additional lines, or press the **DOWN ARROW** to go to a blank line.

To enter another civil action, move to the USAOID field and press **F6** and answer **Y (Yes)** to the prompt to save your changes. A new screen opens.

Press the **Exit** icon and click **Y (Yes)** in the dialog box to save changes and exit the Civil Short Form.

### 3.7. Open Case (Long Form)

The Civil Long Form is shown in Figure 3-9.

Figure 3-9: Civil Long Form

- **Caption** - Enter a reference name for the civil action in accordance with local procedures and press **TAB** or **ENTER**.

LIONS automatically generates a USAOID number and pre-populates certain fields as shown in Figure 3-10. The USAOID is used to track the civil action throughout its life, including appeals.

The screenshot shows the LIONS - CIVIL OPEN LONG window. The USAOID field contains 2007V00709 and the Caption field contains John Jones vs HHS. The CASE section includes fields for Received Date (16-NOV-2007), Status (A Active), Criminal Potential, Cause of Act, US Role, DOJ Division, Case Restrict, Security, ADR Mode, Unit, Reservation, Lit Resp (US), Branch (1 Eastern Pennsylvania), DOJ Number, Lit Track, Special Proj, Weight, Tribe, Type, Related Flu Flag, Qui Tam Flag, and Total Victims. The COURT HISTORY section includes fields for Court, Appeal Type, Filing Date, Court Nbr, Service Date, Judge, Start Date, Disp, Disp Date, and Lead AUSA. The AUSA section includes fields for Lead AUSA and Start Date. The bottom status bar shows FRI,16-NOV-2007.

**Figure 3-10: Open Civil Action**

### 3.7.1. Case

**Received Date** – Defaults to the current date. If this is incorrect, enter the date the civil action was received in the office. The date cannot be later than the current date. The format for all dates is DD-MON-YYYY. When typing the date, spaces or dashes can be entered. Spaces will be converted to dashes when the date is saved.

**Status** – Defaults to **A (Active)** when a civil action is opened. Data in this field **CANNOT** be changed.

**Criminal Potential** – Press **F9** and select **Y** (Yes) or **N** (No) to indicate if a criminal case may arise out of the civil action.

**Cause of Act** (Cause of Action) – In the pop-up block shown in Figure 3-11, press **F9** and select the code(s) that describes the cause(s) for the civil action. Select the most important code first.

**DOWN ARROW** to go to a blank line or press **F6** to insert additional lines. **SHIFT + F6** to return to a previous line.

Press **ENTER** to exit the pop up block.



**Figure 3-11: Cause of Action Pop-up**

**Lit Resp** (Litigating Responsibility) – LIONS defaults to **US - Case Handled Exclusively by US Attorneys Office**. If this is incorrect, press **F9** and select the code that indicates who will handle the litigation.

**US Role** – Press **F9** and select the code that describes the government's position in the civil action.

**Branch** - LIONS defaults to the Branch of the person entering information. If this is incorrect, press **F9** and select the correct code.

**DOJ Division/Number** – In the pop-up block, shown in Figure 3-12, press **F9** and select the correct code(s) for the DOJ Division(s). Enter the number assigned to the civil action by the DOJ Division.

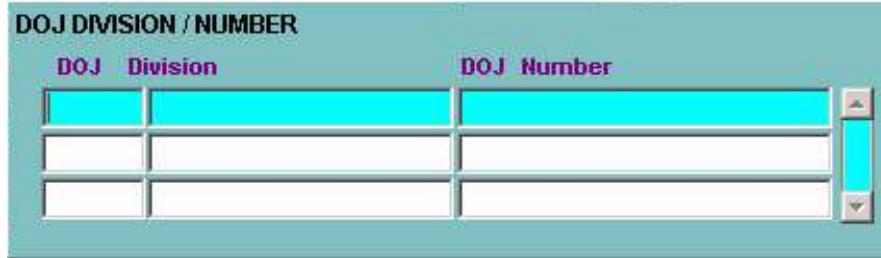


Figure 3-12: DOJ Division/Number Pop-up

If a DOJ Number has been provided enter the DOJ Division, even if the Litigating Responsibility is **US - Case Handled Exclusively by US Attorneys Office**. 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 USAOID and return the form to the Division.

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

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

A case can be restricted so that it can only be accessed by selected Staff Groups. Cases can only be restricted by a member of a group to which access is granted. Cases are restricted in accordance with local procedures. To restrict access to a case:

**Case Restrict** (Case Restricted) – Press **F9** and select **Y** (Yes) to restrict access or **N** (No) if access is unrestricted.

If **Restrict** is **Y** (Yes) the message shown in Figure 3-13 will display.

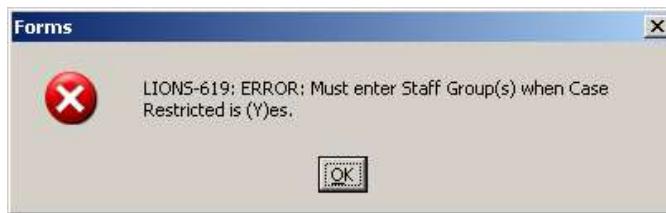
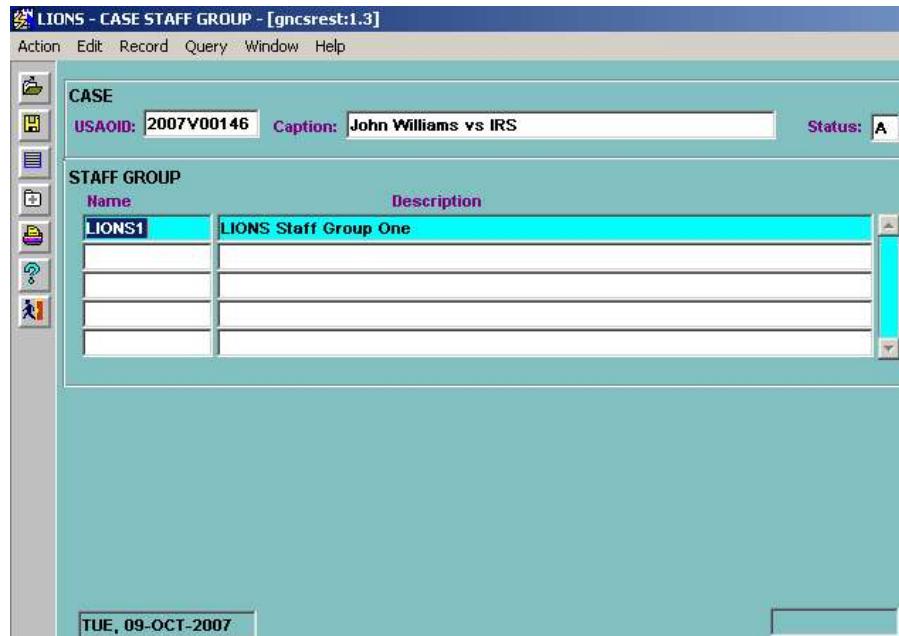


Figure 3-13: Case Restricted Error Message

Click **OK** to open the **STAFF GROUP** form shown in Figure 3-14.



**Figure 3-14: Staff Group**

Press **F9** and select the group or group(s) that will have access to the civil action records.

Press the **Exit** icon to leave the Staff Group form and return to the Civil Long form.

**Lit Track** (Litigation Track) – Press **F9** and select a code that defines the complexity of the litigation. This field can be used in conjunction with the Weight field to assist in civil action assignment.

**Security** – Press **F9** and select a code that describes the level of security for the civil action. Users may be prohibited from seeing civil actions based on the code in this field. Security is a Local Code assigned by the Districts.

EOUSA has established a series of codes for certain types of cases being monitored by Legal Programs (Priority Programs Team). The codes are entered in the pop-up shown in Figure 3-15 and are used to produce the special reports needed by the team.

**Special Proj** (Special Project) – Press **F9** and select the Special Project code, if applicable.



**Figure 3-15: Special Project Pop-up**

Press **ENTER** to exit the pop-up.

**ADR Mode** (Alternative Dispute Resolution) – Press **F9** and select the code that defines the type of alternative dispute resolution, if applicable.

**Weight** – Press **F9** and select a code to define the complexity of the civil action.

**Unit** – Press **F9** and select the code for a group within the office responsible for the civil action.

**Tribe** – Press **F9** and select the code for a Native American tribe, if applicable. This data should be entered when the United States has jurisdiction over a civil action involving a Native American tribe.

**Reservation** – Press **F9** and select the code for the Native American reservation or military installation, if applicable. These codes can be used for Native American cases and/or crimes that occur on military installations.

**Type** - Press **F9** and select a case type code to further describe the nature of the case.

**Related Flu Flag** – Check if Flu is related with the case. Uncheck="N".

**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.

**Total Victims** – The field was used to enter the number of victims in the civil action.

**TAB, ENTER, CONTROL + PAGE DOWN** to go to the **COURT HISTORY** block.

### 3.7.2. Court History

**Court** (and Court Location) – Press **F9** and select the appropriate Court. Court location can also be entered. The court code is required, but the court location is not a required field.

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

**App Type** (Appeal Type) - This field is 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 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.

A **Filing Date** and/or **Service Date** **MUST** be entered for a civil action that is filed in any court.

**Judge** – Press **F9** and select the initials of the judge hearing the civil action, if applicable.

See *Section 3.7.2* for detailed instructions on locating a Judge in the LOV or adding a Judge to the LOV/Judge Picklist.

**Start Date** – Defaults to the current date. If this is incorrect, click in the field and enter the date the Judge was assigned to the civil action.

**Disp/Disp Date** (Disposition and Disposition Date) - **READ ONLY** fields not used to initiate a civil action.

**TAB, ENTER, CONTROL + PAGE DOWN** or press  to go to the **COURT/STAFF ASSIGNMENT** block.

### 3.7.3. Court/Staff Assignment

The Court/Staff Assignment block is shown in Figure 3-16.

The first entry in the **Court/Staff Assignment** block **MUST** be the **Lead AUSA** assigned to the civil action. Only one open Lead AUSA is allowed.

The screenshot shows the LIONS 5.4.2 Civil Open Long window. At the top, there's a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu is a toolbar with icons for New, Open, Save, Print, and Exit. The main area is divided into several sections:

- CASE**: Contains fields for USAOID, Caption, Received Date, Status (set to Active), Criminal Potential (set to N/No), Cause of Act, US Role, DOJ Division, Lit Resp, Branch, and DOJ Number.
- COURTHISTORY**: Shows a list of courts and court numbers.
- COURT/STAFF ASSIGNMENT**: A grid table with columns for Initials, Last Name, First Name, Position, Start Date, and End Date. The grid has 10 rows, all of which are currently empty.

Figure 3-16: Court/Staff Assignment

**Init**s - Press **F9** and select the Lead AUSA initials. The position field for the first entry defaults to **L** (Lead).

Press **F9** and select the initials of each additional staff member assigned to the civil action.

LIONS will automatically fill in the staff name based on the initials entered. Initials are Local Codes assigned by the Districts.

**Position** - Press **F9** and select the code for each staff member's position.

**Start Date** - LIONS defaults to the current date. If this is incorrect, click in the field and enter the date the staff member was assigned to the civil action.

**End Date** - This field will be blank when initiating a civil action.

**DOWN ARROW** to go to a blank line, or press **F6** to insert additional lines. Press **SHIFT + F6** to return to a previous line

**TAB, ENTER, CONTROL + PAGE DOWN** or press  to go to the **AGENCY**

### 3.7.4. Agency

The Agency block is shown in Figure 3-17.

Every civil action **MUST** have at least one client agency.

Figure 3-17: Agency

**Role** - LIONS defaults the Role for the first entry to **CL (Client)**.

**Agency** - Press **F9** and select the code for the client agency that referred the civil action to your office. If the agency has more than one office, select the appropriate office from the LOV.

**Code and Description** – LIONS will fill in this field based on the Agency code selected.

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

**DOWN ARROW** to go to a blank line, or press **F6** to insert blank lines as needed to enter multiple agencies.

**TAB, ENTER, or CONTROL + PAGE DOWN** or press  to go to the **AGENT** block.

### 3.7.5. Agent

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

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

**Title** - Enter the agent's title.

**Lead Agent** – Press **F9** and select **Y (Yes)** if this is the Lead Agent.

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

### 3.7.6. Agency Office (Read Only)

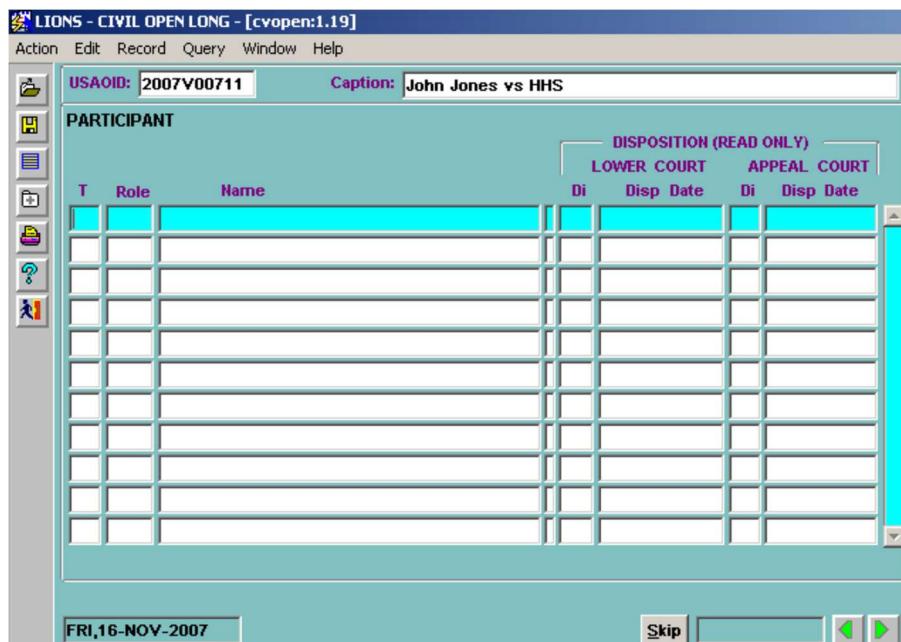
This block is pre-populated based on the agency offices in the Agency Picklist. Agency Office is a local code assigned by the district. See *Chapter 4, Section 4.16.1, Agency Office* for information on the Agency Picklist.

**TAB, ENTER, or CONTROL + PAGE DOWN** or press  to go to the **PARTICIPANT** block.

### 3.7.7. Participant

In LIONS, a “participant” is a litigant, witness, piece of property to be forfeited, or any other individual, organization, or business associated with the civil action. Enter all participants in the civil action. At a minimum, **one litigant participant must be entered** in the Participant block, shown in Figure 3-18.

When a user initiates a civil action, LIONS automatically relates all participants to the current Court History stage. (See *Chapter 6, Criminal Updates and Closings* for more information.)



T	Role	Name	DISPOSITION (READ ONLY)			
			LOWER COURT	APPEAL COURT		
Di	Disp Date	Di	Disp Date			

Figure 3-18: Participant

**Type** – Press **F9** and select the code that best describes the participant.

**I** Individual

**B** Business or organization

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

**Role** – Press **F9** and select the code that best describes the participant's role in the civil action.

**Name** – If **Type** is **I (Individual)**, the pop-up block shown in Figure 3-19 displays. Enter the name of the Participant and press **ENTER** to exit the pop-up. If **Type** is **B (Business)** or **P** (Property) enter the business or property name in the **Name** field.

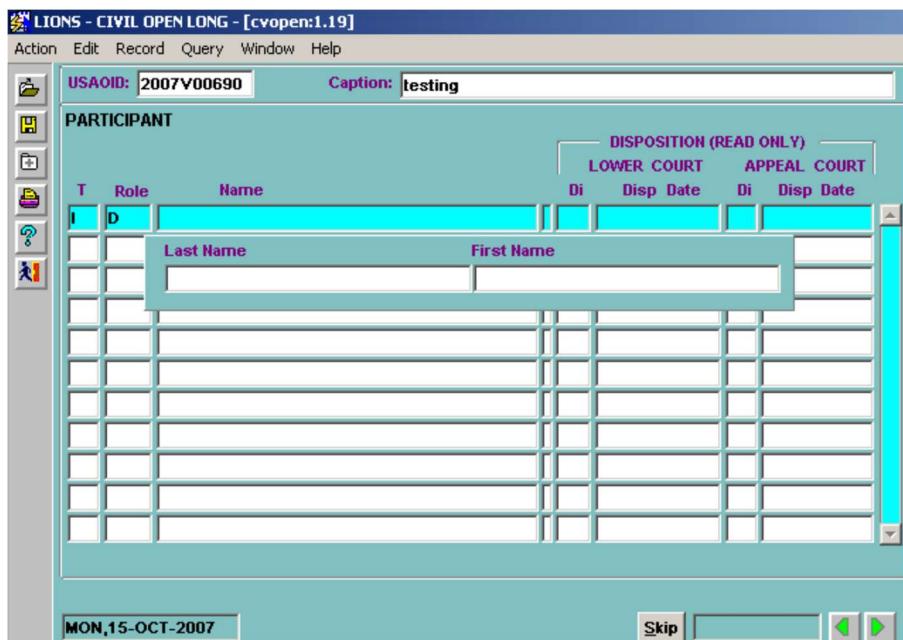


Figure 3-19: Individual Participant Name Pop-up

If the name search feature is activated, LIONS will search the database to alert the user that another case involving the participant exists. To enable the search feature, contact the **System Manager**.

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

If necessary, press **F6** to insert additional rows, or press the **DOWN ARROW** to go to a blank line to add subsequent participants.

The Type code determines what detailed Participant information can be captured.

Refer to Sections 3.7.7.1 and 3.7.7.2 if Participant **Type** is **I (Individual)**

Refer to Sections 3.7.7.3 and 3.7.7.4 if Participant **Type** is **B (Business)**

Refer to Sections 3.7.7.5 and 3.7.7.6 if Participant **Type** is **P (Property)**

Select the Participant from the Participant block and press **CONTROL + PAGE DOWN** or press to access the appropriate screens. This information is for local use and is not required.

**TAB, ENTER, or CONTROL + PAGE DOWN** or press to go to the **INDIVIDUAL** block screen.

### 3.7.7.1. Individual

If **Type** is I (Individual), the **INDIVIDUAL** block shown in Figure 3-20 will open.

**Figure 3-20: Individual**

**Last Name/First Name/Role** - LIONS moves this information into the Individual screen from the Participant screen.

**Title** – Enter the Participant's Title, if applicable.

**Job Pos** (Job/Position) – Press **F9** and select a code for the Participant's job or position if it is relevant to the civil action.

**Court Trial #** - Enter the court trial number, if applicable.

**Gender** – Press **F9** and select **M** (Male) or **F** (Female).

**SSN#** - Enter the participant's Social Security Number.

**DOB** – Enter the Participant's date of birth in **DD-MMM-YYYY** format.

**Tribe** – Press **F9** and select the Native American tribe to which the Participant belongs, if applicable.

**Reservation** - Press **F9** and select a code for a Native American reservation or military installation, if applicable. These codes can be used for Native American cases and/or crimes that occur on military installations. The codes for this field are established by your district.

**Weight** – Press **F9** and select a code that further defines the complexity of the civil action. This code can be used assist in civil action assignment. The codes for this field are established by your district.

**Home Address, Phone and Fax Numbers** – Participant's home address and phone numbers.

**Office Address, Phone and Fax Numbers** – Participant's office address and phone numbers.

Press to return to a previous screen, or press or **CONTROL + PAGE DOWN** to go to the **ALIAS** block.

### 3.7.7.2. Alias

The **Alias** block tracks multiple names used by an **Individual Participant**, as shown in Figure 3-21. More than one alias can be entered.

**Figure 3-21: Alias**

**Last Name/First Name** - Enter all known aliases. Press the **DOWN ARROW** to go to a blank line, or press **F6** to insert additional lines if needed.

Press to return to the **PARTICIPANT** screen or press or **CONTROL + PAGE DOWN** to go to the **RELATED PARTICIPANT** screen.

### 3.7.7.3. Business Participant

If **Type** is **B** (Business), the **BUSINESS** block shown in Figure 3-22 will open. This information is for local use and is not required.

**Figure 3-22: Business Participant**

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

**Type** - Press **F9** and select the business type code. The code should further describe the nature of the business.

**EIN** – Enter the Employer Identification Number of the business or organization.

**Contact Name** – Enter the name of the point of contact for the business or organization.

**Address/Phone Information** – Enter the business address and telephone numbers.

Press to return to Participant screen, or press or **CONTROL + PAGE DOWN** to go to the **DOING BUSINESS AS** screen shown in Figure 3-23.

### 3.7.7.4. DBA (Doing Business As)

LIONS - CIVIL OPEN LONG - [cvopen:1.18]

Action Edit Record Query Window Help

USAOID: 2007V00135 Caption: James Jones vs IRS

**BUSINESS**

Name: ABC Inc  
Role: D Type: EIN:  
Contact Name: John Smith  
Address:

**DOING BUSINESS AS**

TUE,02-OCT-2007 Skip < >

Figure 3-23: Doing Business As

**Doing Business As** – Enter all known DBAs and all relevant information for each.

Press to return to Participant screen press or **CONTROL + PAGE DOWN** to go to the **RELATED PARTICIPANTS** screen.

### 3.7.7.5. Property Participants

If **Type** is P (Property), the **PROPERTY** block shown in Figure 3-24 will open. Information about the type of property, total number of tracts in Lands civil actions, the CATS ID, and the property address can be collected and tracked. All of the fields on this screen are optional.

LIONS - PARTICIPANT INFORMATION - [gnpart:1.27]

Action Edit Record Query Window Help

CASE  
USAOID: 2007V00135 Caption: Victor Mocanu v. Mueller, et al. Status: A

**PROPERTY**

Name: 123 Oak Street  
Role: D Type: Total Tracts:  
CATS Asset ID:  
Address:  
City: State: Zip:  
County:  
Phone: FAX:

TUE,27-NOV-2007 < >

Figure 3-24: Property Participants

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

**Type** - Press **F9** and select the property type code. The code should further describe the property.

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

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

**Address/Phone** – Address and phone numbers for the property, if applicable.

Press to return to the Participant screen, or press to go to the **PROPERTY VALUE** block shown in Figure 3-25.

### 3.7.7.6. Property Value

The screenshot shows the LIONS - PARTICIPANT INFORMATION screen. At the top, there is a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu, the title bar says "LIONS - PARTICIPANT INFORMATION - [gnpart:1.27]". The main area is divided into two sections: "PROPERTY" and "PROPERTY VALUE".

**PROPERTY Section:**

- CASE:** USAOID: 2007V00135, Caption: Victor Mocanu v. Mueller, et al., Status: A
- PROPERTY Fields:**
  - Name: 123 Oak Street
  - Role: D, Type:
  - Total Tracts:
  - CATS Asset ID:
  - Address:

**PROPERTY VALUE Section:**

Type	Value	Prop	Date

At the bottom left, the date is shown as TUE,27-NOV-2007. At the bottom right, there are navigation icons: a left arrow, a right arrow, and a double arrow.

**Figure 3-25: Property Value**

**Type** - Press **F9** and select the code that identifies the source of the property valuation.

**Value** - The \$ amount of the property valuation.

**Prop Date** (Property Date) - The date of the valuation.

Press to return to Participant screen.

Press or **CONTROL + PAGE DOWN** to go to the **RELATED PARTICIPANT** block.

### 3.7.8. Related Participant

The Related Participant screen is used to establish relationships between participants in the same civil action. For example, a piece of property can be related to an Individual participant as shown in Figure 3-26.

Name	Role	Reason
ABC, Inc.	DD	OW
Jones, Jane	D	OW

Figure 3-26: Related Participant

**Name/Role** – Press **F9** and select a participant.

**Reason** – Press **F9** and select the code that explains the relationship between the participants. If a Related Participant has been selected then you **MUST** enter a reason for the relationship.

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

### 3.7.9. Opposing Counsel

You can track Opposing Counsel for all participants (see Figure 3-27).

**Figure 3-27: Opposing Counsel**

**Inits** (Initials) – Press **F9** and select the initials of the opposing counsel. The codes for this field are established by your district.

**Name** - LIONS automatically enters the name based on the initials entered.

**Type** – Press **F9** and select the code that describes the type of counsel.

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

**End Date** - This field is not used for civil initiation.

See *Chapter 4, Civil Closings and Updates, Section, 4.16.2 Opposing Attorney* for additional instructions.

### 3.7.10. Participant Comments

You can create a comment for each participant in the civil action using the **PARTICIPANT COMMENTS** block shown in Figure 3-28.

The screenshot shows the LIONS - PARTICIPANT INFORMATION window with the following details:

- CASE**: USAOID: 2007V00011, Caption: U.S. vs Mark Brinkley, Status: C
- INDIVIDUAL** section:
  - Last Name: Brinkley
  - Role: P, Salutation: [empty]
  - Position: [empty]
  - Gender: [empty], SSN#: [empty]
  - DOB: [empty], Juvenile: [empty]
  - FBI#: [empty], PDID#: [empty]
- PARTICIPANT COMMENTS** section: A large text area for entering comments.
- Bottom status bar: TUE,27-NOV-2007

Figure 3-28: Participant Comments

**Participant Comments** – This is a non-code field. Approximately 35 lines of text can be entered in upper, lower or mixed case. Where applicable, entries should be made in mixed case as they will appear in documents. To expand the Comments field, press **ALT + E** and select **Edit** from the menu. Click **OK** to exit the Edit screen.

### 3.7.11. Participant Relief

For all civil actions initiated in LIONS you **MUST** create at least one **Relief** record with a **Stage of Requested**.

If the action involves only one agency and one litigant, then one Requested record can be entered. If two agencies and one litigant are involved, two requested records must be entered.

**General Rule:**

Only one Relief Requested record per agency/participant combination.

**Exception:**

IRS cases can have multiple Relief Requested records for the same agency/participant combination.

The Relief screen is shown in Figure 3-29.

### 3.7.11.1. Relief

**Figure 3-29: Relief**

**Type** – Press **F9** and select the type relief being sought:

**M** Monetary

**N** Nonmonetary

**B** Both Monetary and Nonmonetary

**Stage** – Defaults to **R** (Requested) for civil initiations. A **Requested** stage is required when a civil action is opened. This field tracks the history of Relief sought by a Participant in a civil action. The code in this field **CANNOT** be changed. (See *Chapter 4 Civil Updates and Closings* for more information on Relief.)

**D** Denied

**E** Estimated

**G** Granted

**O** Ordered

**R** Requested

The Ordered stage is for DNA Testing only. The Requested, Ordered and Granted stages are required to initiate the DNA Testing screen. See Appendix E, LIONS Coding Policies for further information.

**Requested By** – Press **F9** and select the code for the Participant seeking Relief:

**G** Government is seeking the relief.

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

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

**Liability** - If only one participant is entered, LIONS defaults liability to **I (Individual)**. If multiple participants are entered, LIONS defaults the liability to **J (Joint and Several)**.

**Amount** – Enter a value for the relief being sought.

If **Type** is **M** (Monetary) or **B** (Both Monetary and Nonmonetary):

- Enter the dollar amount of monetary relief being sought. The maximum amount is 999,999,999,999.99. Do not enter a dollar sign (\$).
- If **Type N** (Nonmonetary), the cursor skips over this field.

If **Type** is **N** (Nonmonetary) or **B** (Both Monetary and Nonmonetary):

- Enter a description of the nonmonetary relief being sought.
- If **Type** is **M** (Monetary), the cursor skips over this field.

**Agency** - LIONS defaults this field to the Client Agency previously entered.

#### 3.7.11.2. Participant Relief

At least one participant **MUST** be attached to the Relief record.

**Name** - Press **F9** and select the Participants to attach to the Relief record.

**Role** – LIONS inserts the participant's role in the civil action based on information entered in the Participant screen.

**Disp** (Disposition) – Not used for civil initiations.

**TAB, ENTER, OR CONTROL + PAGE DOWN** to go to the **EVENT** block.

#### 3.7.12. Event

Participants can only be related to events if they are related to a court history stage for which the event is being entered, as shown in Figure 3-30

Figure 3-30: Event

**Rel** (Relate) - Press **F9**.

Select **Y** (Yes) to allow LIONS to relate participants in the Court History to the new event or scheduled event.

Select **N** (No) to select individual participants in the Court History to relate to the new event or scheduled event.

**Event** – Press **F9** and select the code that best describes the event. LIONS will insert the name of the Event based on the code selected.

Districts may create event codes at their discretion.

**Action** – Press **F9** and select the code that describes the status of the event.

**Event Date** - Enter the date the event occurred. When scheduling an event leave this field blank.

**Date Scheduled** - Enter the date an event is scheduled to take place. 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 occur. Scheduled time will appear on staff members' calendar reports.

**Staff Initials** - LIONS will automatically fill in the initials of the Lead Attorney. If this is incorrect, press **F9** and select the appropriate Lead AUSA initials.

**Doc Code** (Document Code) – Press **F9** and select the document number for document generation purposes, if needed.

**Document Staff Initials** - LIONS will default to the initials of the person logged into LIONS. This **CANNOT** be changed.

**Document Date** - Defaults 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.

**Judge INIT (Initials)** – Press **F9** and select the initials of the Judge involved in the event or scheduled event.

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

If **Rel (Related)** is **Y (Yes)**, upon selecting **Judge INIT**, the **Participant Event** confirmation shown in Figure 3-31 will display showing all participants in the Court History record related to the event.

Event	Staff Last Name	Doc Code	DocStaff INIT	Doc Date	Location Scheduled	Judge INIT	Judge Last Name
AGNT	Givhan					BIF	FOX
ACDU	Givhan					CG	GREEN

Figure 3-31: Participant Event

If **Rel (Related)** is **N (No)**, upon selecting **Judge INIT**, the **RELATE PARTICIPANTS TO AN EVENT** screen (shown in Figure 3-32) will open.

X	Name	Role	Disp	Reason
X	123 Oak Street	D	D	
X	ABC Co	D	D	
	Johnson, William	D	D	

Figure 3-32: Relate Participants to an Event

Enter an **X** for each participant in the Court History record related to the Event.

**CONTROL + PAGE DOWN** to display the **PARTICIPANT EVENT** block shown in Figure 3-33.  
Selected participants in the current Court History record are related to the Event

The screenshot shows the LIONS - CIVIL OPEN LONG application interface. At the top, the window title is "LIONS - CIVIL OPEN LONG - [cvopen:1.19]". The menu bar includes Action, Edit, Record, Query, Window, and Help. The USAOID field contains "2007V00712" and the Caption field contains "John Smith vs IRS".

**COURT HISTORY**: This section displays court information. The Court is set to "DC" (District Court) and the Court # is "123456".

**EVENT**: This section lists participants related to the event. It includes columns for Event, Staff Last Name, Doc Code, DocStaff INIT, Doc Date, Location Scheduled, Judge INIT, Judge Last Name, and Judge Name.

Event	Staff Last Name	Doc Code	DocStaff INIT	Doc Date	Location Scheduled	Judge INIT	Judge Last Name	Judge Name
AGNT	Givhan					BIF	FOX	
ACDU	Givhan					CG	GREEN	

**PARTICIPANT EVENT**: This section lists participants with their names, roles, display options, and reasons.

Name	Role	Disp	Reason
123 Oak Street	D		
ABC Co	D		

At the bottom left, the date is shown as "MON,19-NOV-2007". On the right side, there are navigation buttons and a status bar.

Figure 3-33: Selected Participants Related to Event

### 3.7.13. Event Comments

This field is used to enter supplemental or explanatory information. 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. The on-line Editor opens as shown in Figure 3-34.

The screenshot shows the LIONS - CIVIL OPEN LONG application interface. The window title is "LIONS - CIVIL OPEN LONG - [cvopen:1.19]". The USAOID field contains "2007V00716" and the Caption field contains "HUD vs John Smith".

**COURT HISTORY**: This section displays court information. The Court is set to "DC" (District Court) and the Court # is "123456".

**Editor**: This dialog box is open, showing the text "This is a test." in a large text area. It includes "Search", "OK", and "Cancel" buttons at the bottom.

At the bottom left, the date is shown as "FRI,30-NOV-2007". On the right side, there are navigation buttons and a status bar.

Figure 3-34: Event Comments

The Event Comments field should **NOT** be used to repeat the Event Code description.

Press to return to a previous screen or press to go to the **RELATED CASE** screen.

### 3.7.14. Related Case

Two civil actions in LIONS can be related or a civil action in LIONS can be related to a civil action no longer in LIONS using the Related Case screen shown in Figure 3-35.

The screenshot shows the LIONS - CIVIL OPEN LONG screen with USAOID 2007V00712 and Caption "John Smith vs IRS". The CASE section contains fields like Received Date (19-NOV-2007), Status (A), Active, Criminal Potential, Cause of Act (CO), US Role (P), DOJ Division (CIVL), Case Restrict (N), Security (S), ADR Mode (A), Lit Resp (US), Branch (1), DOJ Number (4564164), Lit Track, Special Proj (N), and Weight (1). The RELATED CASE section displays a table with columns: Court Number, Ref USAOID, Related, Court Number, and Reason. One row is populated with Court Number 123456, Ref USAOID 2007V00694, Related 46155, Court Number IS, and Reason IS. The bottom of the screen shows the date MON,19-NOV-2007 and navigation icons.

**Figure 3-35: Related Case**

**Court Number** - Press **F9** to see all Court Numbers for the current civil action. Highlight the appropriate court number press **OK**.

**Rel USAOID** – LIONS will fill in the USAOID of the case related to the current civil action.

**Related Court Number** – LIONS will fill in the Court Number of the case related to the current civil action.

**Reason** – Press **F9** and select a code that explains the reason the cases are related.

A Reason **MUST** be entered if a Rel USAOID and/or Related Court Number is entered.

When a related case record is created, LIONS automatically creates a matching record for the related case if it is still in the LIONS database.

When all information has been entered, press to return to a previous screen or press to go to the **CASE COMMENTS** block.

### 3.7.15. Case Comments

This is a non-code field used to enter supplemental or explanatory information. Enter text as you would in Word. You can enter approximately 35 lines of text. To expand the comment screen or to make changes to comment text, 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 Close Court Participant (optional) Modify Relief (optional)	4.3 4.4
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 Access USAO Assignments	4.6 4.6
Agency/Agent Information	Access Agency	4.7
Restrict Case and other general Case Information	Access Restrict Case Access Case	4.8 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, then click on the appropriate option	4.16
Closing	Close Relief Close Case	4.17

All updates to existing civil actions can be performed through the **Civil, Case Summary** or the **Civil, Update, General Update** options.

If multiple updates are being made to an individual civil action, such as going from **Not in Court** to **District Court**, it is recommended that the updates be made from the **Civil, Case Summary** option.

If one kind of change is being made (scheduling events in multiple cases), select the appropriate record from the **Civil, Update, General Update** option.

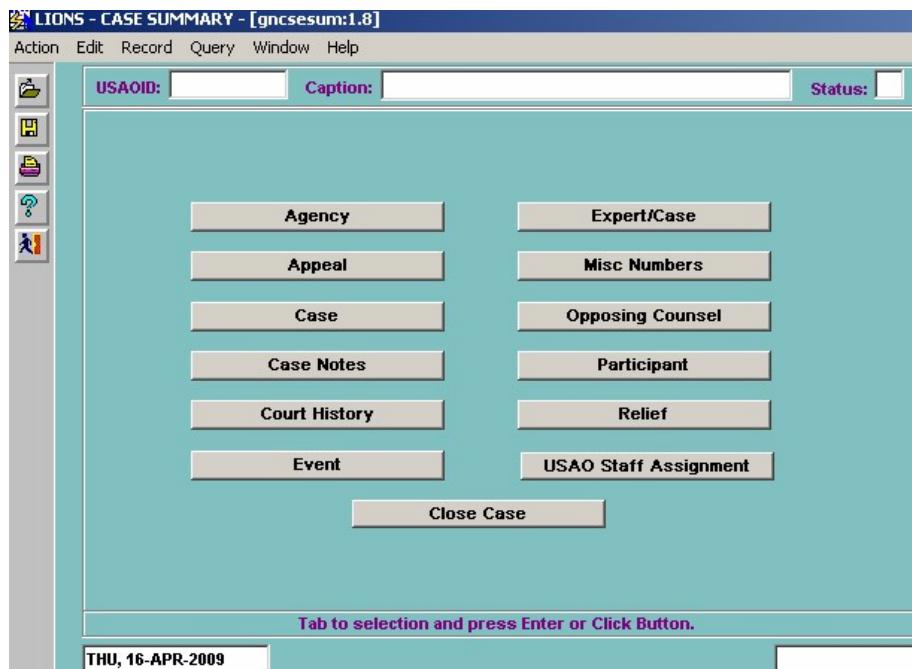
## 4.1. Case Summary Screen

Select **Civil, Case Summary** in the LIONS Main Menu as shown in Figure 4-1 or press the letter **C**.



**Figure 4-1: Civil Case Summary**

The **Case Summary** screen shown in Figure 4-2 will open.



**Figure 4-2: Case Summary Screen**

Enter the **USAOID** for the case to be updated 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.

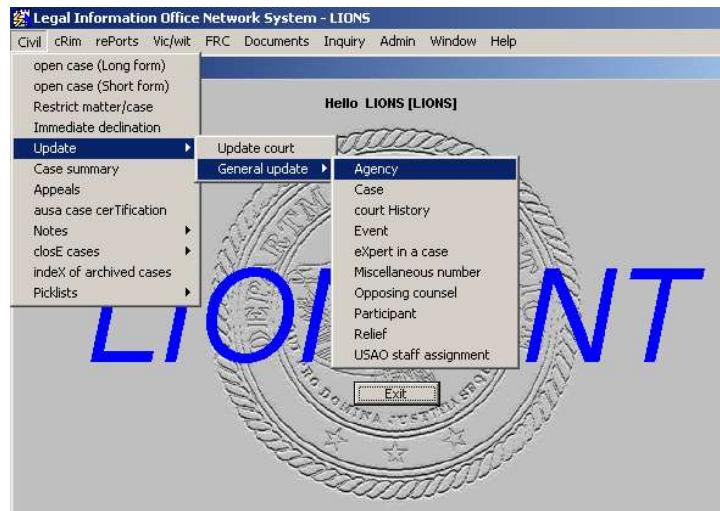


Figure 4-2: Civil General Update Menu Options

**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**.

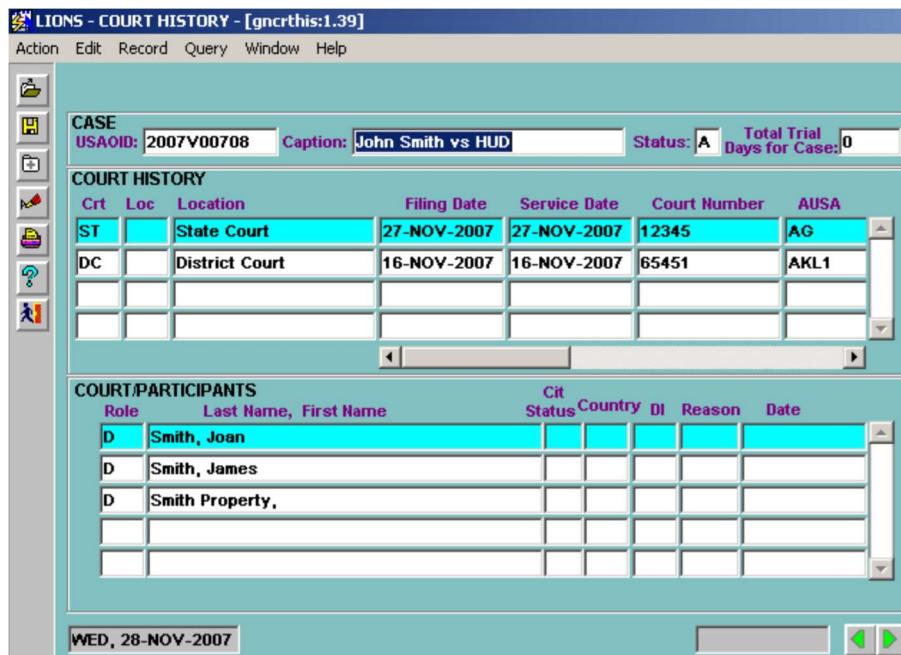
## 4.3. Initial Court Filing or Transferring to another Court

When updating a civil action from **Not in Court** to **Court**, or when transferring a civil action from one court to another, the existing Court History record must be closed and a new Court History record added. In addition, the Relief record may need to be modified. Alternatively, the Court Participant record can be closed, but it has no overall effect on the case.

### 4.3.1. Court History

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

The Court History screen for the requested case opens as shown in Figure 4-3.



**Figure 4-3: Requested 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.

You **CANNOT** enter a disposition date that is earlier than the received date.

Optionally, you can enter a disposition code and date for each participant listed in the **Court/Participants** block. However, this will not have any overall effect on the case.

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

After closing the existing Court History record, **CONTROL + PAGE UP** to the **COURT HISTORY** block.

**DOWN ARROW** to a blank line or press **F6** (Insert).

**Court** (and Court Location) – Press **F9** and select the Court where the new civil action will be heard. Court Location can be entered, if applicable. Court Location is a local code assigned by the Districts.

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

**A Filing Date or Service Date MUST** be entered for any civil action filed in any court.

**Filing Date** - Enter the date the new civil action was filed in court.

**Service Date** - Enter the date the USAO was served.

**CONTROL + PAGE DOWN** to go to **COURT PARTICIPANTS** block.

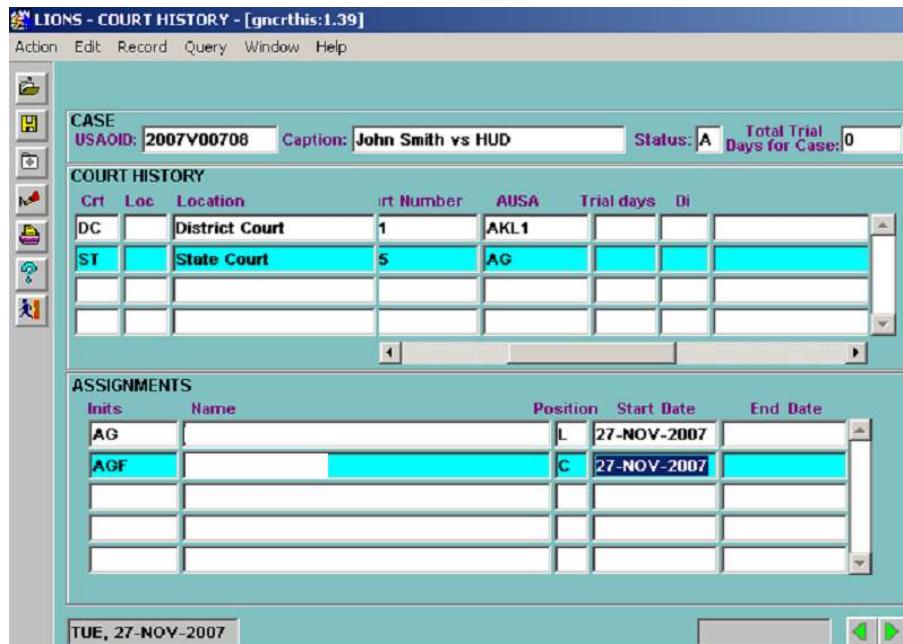
At least one participant **MUST** be attached to the new Court History.

Press **F9** and select a participant to attach to the new Court History and press **ENTER**.

If a participant is not in the LOV, press **F3** to go to the **PARTICIPANT** block. Enter additional participant(s) as necessary. When all participants have been added, press the **Exit** icon to return to the **COURT/PARTICIPANTS** block.

**CONTROL + PAGE DOWN** or  to go to the **ASSIGNMENTS** block shown in Figure 4-4.

### 4.3.2. Assignments



Crt	Loc	Location	Crt Number	AUSA	Trial days	Di
DC		District Court	1	AKL1		
ST		State Court	5	AG		

Inits	Name	Position	Start Date	End Date
AG		L	27-NOV-2007	
AGF		C	27-NOV-2007	

**Figure 4-4: Assignments**

**Inits** – Press **F9** and select the initials for the Lead AUSA assigned to the new civil action. The position field for the first entry defaults to L (Lead).

**Position** – Press **F9** and select the code for each staff member's position.

**Start Date** – Enter the date the staff member was assigned to the new civil action.

**End Date** – Not used for new assignments.

**CONTROL + PAGE DOWN** or press  to go to the **COURT/JUDGES** block shown in Figure 4-5: Court/Judges if applicable.

The screenshot shows the LIONS - COURT HISTORY application window. At the top, there's a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu is a toolbar with various icons. The main area is titled 'COURT/JUDGES' and contains a table with columns: Initials, First Name, Last Name, Start Date, and End Date. A single row is visible with the initials 'BH' and the date '04-AUG-2006'. At the bottom of the screen, there's a date field showing 'FRI, 04-AUG-2006' and a set of navigation keys.

**Figure 4-5: Court/Judges**

**Initials** - Press **F9** and select the initials for the Judge assigned to the new civil action. LIONS will fill in the First Name and Last Name based on the initials.

**Start Date** – This field defaults to the current date. If this is incorrect, enter the date the Judge was assigned. The date entered cannot be later than the current date.

**CONTROL + PAGE DOWN** or press to go to the **COURT HISTORY COMMENTS**.

### 4.3.3. Court History Comments

The Court History Comments block, shown in Figure 4-6, can be used to enter supporting information about the Court History record. To expand the comment screen and/or edit text, press **ALT + E** and select **Edit** from the menu.

The screenshot shows the LIONS - COURT HISTORY application window. It has a similar layout to Figure 4-5, with a menu bar, toolbar, and a 'COURT HISTORY' section. The 'COURT HISTORY COMMENTS' section is expanded, showing a large text input area. The date at the bottom is 'THU, 05-MAR-2009'.

**Figure 4-6: Court History Comments**

Enter comment and click **OK** to exit the Edit screen.

Click the **Exit** icon, click **Y** (Yes) in the dialog box to save changes and exit Court History.

#### 4.4. Relief

To modify or add relief records, Select **Civil, Update, General Update, Relief** from the LIONS Main Menu or access Relief from Case Summary. Enter the USAOID of the case to be updated and press **F8**.

The screen shown in Figure 4-7 will appear.

X	Role	Last Name, First Name	Disp	Reason	Disp Date
X	D	Smith, James			
X	D	Smith, Joan			

**Figure 4-7: Relief**

##### General Rule:

Only one Relief Requested record per agency/participant combination is allowed.

##### Exception:

IRS cases can have multiple Relief Requested records for the same agency/participant combination.

To add a new relief record:

Press **F6** (Insert) to open a new record.

**Type** – Press **F9** and select the code for the type of Relief being sought.

**M** Monetary

**N** Nonmonetary

**B** Both

**U** Unknown Monetary Amount

**Stage** – Press **F9** and select the code for the status of the relief sought.

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

For **Lands Civil** actions use **O** (Ordered).

**Requested By** – Press **F9** and select the code for the Participant seeking Relief. Enter **G** (Sought by the Government) if the Government is seeking the relief. Otherwise, enter **O** (Sought by Opposing Party). For Lands civil action, enter **O**. (LOV)

**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** – Enter a value for the relief being sought.

If **Type** is **M** (Monetary) or **B** (Both Monetary and Nonmonetary):

- Enter the dollar amount of monetary relief being sought. The maximum amount is 999,999,999,999.99. Do not enter a dollar sign (\$).
- If **Type N** (Nonmonetary), the cursor skips over this field.

If **Type** is **N** (Nonmonetary) or **B** (Both Monetary and Nonmonetary):

- Enter a description of the nonmonetary relief being sought.
- If Type is **M** (Monetary), the cursor skips over this field.

**Agency** - LIONS will default this field to the Client Agency previously entered. If more than one Agency was entered, select one.

Upon entering the Agency, the pop-up shown in Figure 4-8 displays.

At least one participant **MUST** be attached to the Relief record.

WED,28-NOV-2007

**Figure 4-8: Relate All Participants to a Relief Record Dialog Box**

Enter **Y** (Yes) and press **Enter**. LIONS will attempt to make the attachment. However, it is recommended that this option only be used for initial **Requested**, **Granted**, **Denied**, or **Estimated** records.

Enter **N** (No) if all Participants are not attached to the Relief record and press **Enter**. Entering **N** (No) will open the **RELATE PARTICIPANTS TO RELIEF** block shown in Figure 4-9.

X	Role	Last Name, First Name	Disp	Reason	Disp Date
	D	Smith, James			
	D	Smith, Joan			

WED,28-NOV-2007

**Figure 4-9: Relate Participants to Relief**

Place an **X** in the checkbox for each Participant attached to the new Relief record.

Only one participant/Agency combination can be attached to a Requested record **EXCEPT**, when IRS is the agency.

Only one **Granted** or **Denied** record can be entered for a single participant/agency combination, **EXCEPT** when IRS is the agency.

LIONS will **NOT** allow 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 does not exist for this participant.



**Figure 4-10: Relief Edit Error Message**

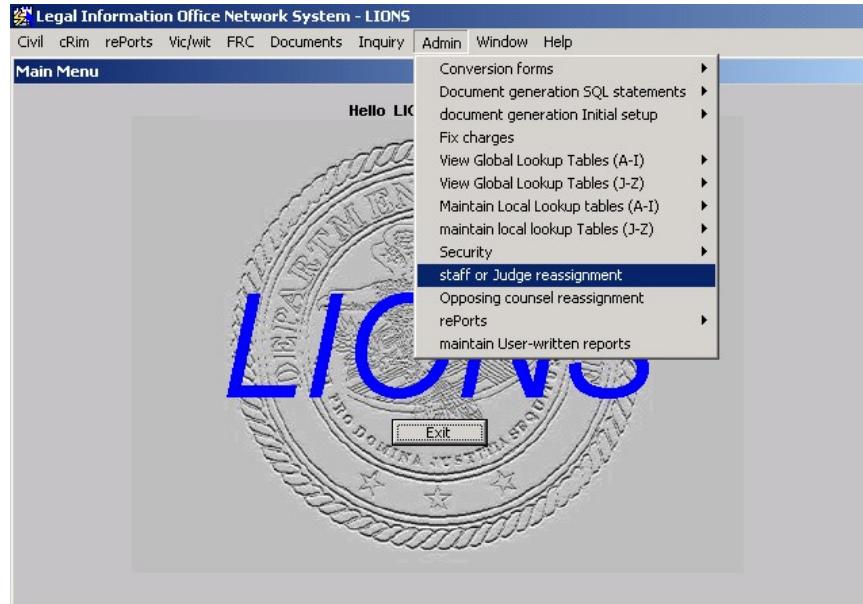
**Name** – Press **F9** and select a participant. LIONS will insert the participant's role.

When closing relief, **DO NOT** overwrite the existing record. Add a new record.

## 4.5. Staff or 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.

Select **Admin, Staff or Judge Reassignment** from the LIONS Main Menu as shown in Figure 4-11.



**Figure 4-11: Staff or Judge Reassignment**

If security permissions do not allow access to the Admin module, see the **System Manager** for assistance.

Reassignments for **Staff** and **Judge** **CANNOT** be made at the same time in the Reassignment form.

The Reassignment screen shown in Figure 4-12 opens.

**Figure 4-12: Reassignment**

**Old Staff or Old Judge** – Press **F9** and select the staff member OR judge currently assigned.

**New Staff or New Judge** – Press **F9** and select the staff member OR judge being assigned.

**Order By** - Put an **X** in the checkbox to indicate how the list of civil actions will be sorted. An **Order By** option **MUST** be selected.

Press **TAB** to execute. The dialog box shown in Figure 4-13 displays.



**Figure 4-13: Reassignment (Global)**

Press **OK**.

LIONS returns all current assignments for the USAO staff member/ as shown in Figure 4-14. When reassigning a staff member with a **Position** of **L** (Lead) or **C** (Co-counsel) the Position of the new staff member defaults to **L** or **C**.

USAOID	Caption	Prog Cat	Cause Act	Br	Pos Crt	Loc	Court #
2005V00706		FR	1	L	NC		
2007V00288		FR	1	L	DC	0703469	
2007V00288		FR	1	L	NC		
2007V00289		FR	1	L	NC		
2007V00289		FR	1	L	DC	0703469	
2007V00466		FR	1	L	NC		
2006V00892		IM	1	L	CA	0601424	
2007V00582		IM	1	L	DC	0703337	
2005V00165		JU	1	L	DC	0500118	
2005V00165		JU	1	L	CA	0502415	

Figure 4-14: Current Assignments

Use the scroll bar to move through the list. Put an **X** next to each civil action being reassigned as shown in Figure 4-15.

USAOID	Caption	Prog Cat	Cause Act	Br	Pos Crt	Loc	Court #
2003V00294		EN	1	L	DC	0506336	
2006V00529		EN	1	L	NC		
X 2006V00611		ENSE	1	L	DC	0601635	
2005V00093		FL	1	L	NC		
2004V00585		FR	1	L	NC		
2005V00706		FR	1	L	NC		
X 2007V00288		FR	1	L	DC	0703469	
2007V00288		FR	1	L	NC		
2007V00289		FR	1	L	NC		
X 2007V00289		FR	1	L	DC	0703469	

Figure 4-15: Actions to be Reassigned

Press **F10** to commit/execute the reassignment.

The pop-up message shown in Figure 4-16 displays.



**Figure 4-16: Reassignment Dialog Box**

Enter **N** (No) to cancel the request and continue selections.

Enter **Y** (Yes) and press **Enter** to execute the reassessments.

The execution dialog box shown in Figure 4-17 displays.



**Figure 4-17: Reassignment Execution Message**

Click **OK**.

The reassignment confirmation message shown in Figure 4-18 displays.



**Figure 4-18: Reassignment Confirmation Message**

Click **OK**.

Press the **Exit** icon to exit the Reassignment form and go to the LIONS Main Menu.

LIONS automatically updates the Court History Assignment block. The **End Date** field of the current staff member or judge will default to the current date. The **Start Date** of the new staff member or judge will default to the current date.

## 4.6. USAO Staff Reassignment (Individual)

The USAO staff assignment form can be accessed by either of the following ways:

Select **Civil, Update, General Update, USAO Staff Assignment** from the LIONS Main Menu as shown in Figure 4-19. Enter the USAOID for the case to be updated and press **F8**.

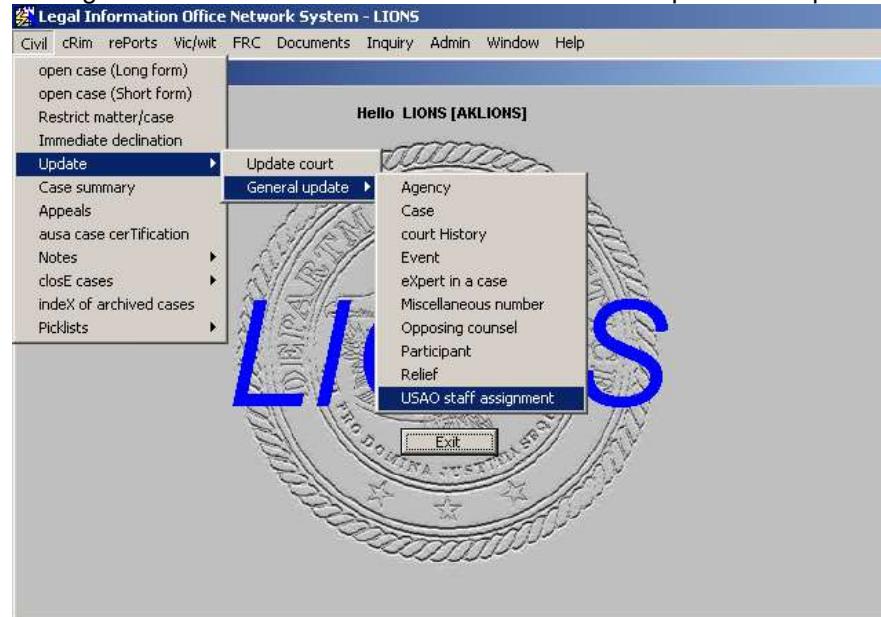


Figure 4-19: USAO Staff Assignment

OR

Select **Civil, Case Summary** from the LIONS Main Menu. Enter a USAOID and press **F8**.

Select **USAO Staff Assignment** from the Case Summary menu.

The USAO Staff Assignment form for the requested case opens as shown in Figure 4-20.

Init	Last Name, First Name	Pos	Start Date	End Date
AB	Brown, Althea	L	17-OCT-2007	

Figure 4-20: Current USAO Staff Assignments

Highlight the current court.

Press **TAB** or **CONTROL + PAGE DOWN** to go to the **ASSIGNMENT** block.

**End Date** - Enter the date the USAO staff member's involvement in the case ended. The date entered cannot be later than the current date.

Press **DOWN ARROW** to go to a blank line.

**Inits** - Press **F9** and select the initials of the new USAO staff member.

**Position** - Press **F9** and select a code for the new staff member's position. Only one active Lead AUSA per court is allowed.

**Start Date** – This field defaults to the current date. If this is incorrect, click in the field and enter the correct date. The date entered cannot be later than the current date.

The completed staff reassignment is shown in Figure 4-21.

The screenshot shows the LIONS - USAO STAFF ASSIGNMENT application window. The title bar reads "LIONS - USAO STAFF ASSIGNMENT - [gnassign:1.16]". The menu bar includes Action, Edit, Record, Query, Window, and Help. On the left is a vertical toolbar with icons for New, Open, Save, Print, and Help. The main area is divided into sections: CASE, COURT HISTORY (READ ONLY), and ASSIGNMENT.

**CASE:** USAOID: 2007V00708, Caption: John Smith vs HUD, Status: A

**COURT HISTORY (READ ONLY):** Court Location: ST (State Court) and DC (District Court). Court Number: 12345 and 65451. Page 1 OF 2.

**ASSIGNMENT:** A table showing staff assignments:

Inits	Last Name, First Name	Pos	Start Date	End Date
AGF	Foulkes, Andrea	C	27-NOV-2007	28-NOV-2007
AG	Gershengorn, Ara	L	27-NOV-2007	
ADF	Fisk, Arlene	C	28-NOV-2007	

A status bar at the bottom left shows "WED, 28-NOV-2007".

Figure 4-21: Completed USAO Staff Reassignment

## 4.7. Judge Reassignment (Individual)

Select **Civil, Update, Update Court** from the LIONS Main Menu as shown in Figure 4-22. Enter the USAOID for the case being updated and press **F8**.

OR

Select **Civil, Update, General Update, Court History** from the LIONS Main Menu. Enter the USAOID for the case being updated and press **F8**.



**Figure 4-22: Judge Reassignment (Individual)**

The Court History screen for the requested case opens as shown in Figure 4-23.

Crt	Loc	Location	Filing Date	Service Date	Court Number	AUSA
ST		State Court	27-NOV-2007	27-NOV-2007	12345	AG
DC		District Court	16-NOV-2007	16-NOV-2007	65451	AKL1

Role	Last Name, First Name	Cit	Status	Country	DI	Reason	Date
D	Smith, Joan						
D	Smith, James						
D	Smith Property,						

**Figure 4-23: Requested Court History**

Highlight the current court.

Press **RIGHT ARROW** or **CONTROL + PAGE DOWN** to go to the **COURT/JUDGES** block shown in Figure 4-24.

The screenshot shows the LIONS - COURT HISTORY application window. At the top, there is a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu is a toolbar with various icons. The main area is divided into two sections: 'COURT HISTORY' and 'COURT/JUDGES'. In the 'COURT HISTORY' section, there is a table with columns: Crt, Loc, Location, Filing Date, Service Date, Court Number, and AUSA. One row is highlighted with the values: BC, Bankruptcy Court, 17-OCT-2007, 17-OCT-2007, 654123, and AG. In the 'COURT/JUDGES' section, there is a table with columns: Initials, First Name, Last Name, Start Date, and End Date. One row is highlighted with the values: AB, BRODY, ANITA B., 17-OCT-2007, and a blank field. At the bottom left, a date field shows WED, 17-OCT-2007. At the bottom right, there are navigation icons.

**Figure 4-24: Court/Judges**

Enter an **End Date** for the current Judge. The date entered cannot be later than the current date.

**DOWN ARROW** to go to a blank line.

**Initials** - Press **F9** and select the initials of the new Judge.

**Start Date** – This field defaults to the current date. If this is incorrect, click in the field and enter the correct date. The date entered cannot be later than the current 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 4.3, Initial Court Filing or Transfer to Another Court* and *Section 4.17.4, Judges* for more information on the Judge Picklist/LOV.

The completed reassignment is shown in Figure 4-25.

LIONS - COURT HISTORY - [gncrthis:1.39]

Action Edit Record Query Window Help

CASE  
USAOID: 2007V00708 Caption: John Smith vs HUD Status: A Total Trial 0 Days for Case: 0

COURT HISTORY

Crt	Loc	Location	Filing Date	Service Date	Court Number	AUSA
ST		State Court	27-NOV-2007	27-NOV-2007	12345	AG
DC		District Court	16-NOV-2007	16-NOV-2007	65451	AKL1

COURT/JUDGES

Initials	First Name, Last Name	Start Date	End Date
ACR	Rapoport, Arnold C	27-NOV-2007	28-NOV-2007
BMS	Schiller, Berle M.	28-NOV-2007	

WED, 28-NOV-2007

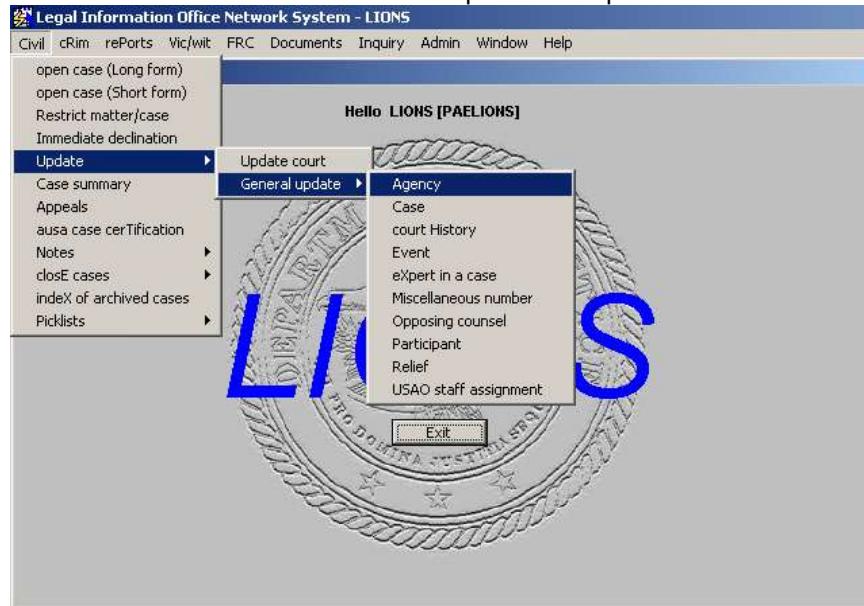
◀ ▶

Figure 4-25: Completed Judge Reassignment (Individual)

## 4.8. Agency/Agent

To change or add additional Agency or Agent information access the Agency form by either of the two following ways:

- Select **Civil, Update, General Update, Agency** from the LIONS Main Menu as shown in Figure 4-26. Enter the USAOID for the case to be updated and press **F8**.



**Figure 4-26: Agency**

OR

- Select **Civil, Case Summary** from the LIONS Main Menu. Enter the USAOID for the case to be updated and press **F8**. Select **Agency** from the Case Summary menu.

The Agency form for the requested case opens as shown in Figure 4-27. All fields in the **AGENCY** and **AGENT** blocks can be changed **EXCEPT** Agency Code.

**Figure 4-27: Requested Agency Record**

You **cannot** make a change to the **AGENCY CODE**. If the wrong agency has been recorded, delete the record and create a new Agency record with the correct code.

If you have attached the agency to a **Relief** record, that **Relief** record will be **DELETED**. If it is the only Requested relief record, a new record **MUST** be entered. See *Section 4.4, Relief* 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. The Agency block is a stacked block. Use the **DOWN** and **UP** arrows to move through Agent records.

To add an Agency, make sure cursor is on first line in Agency block, press **F6**, and a blank line will appear.

**Role** - Press **F9** and select a codes:

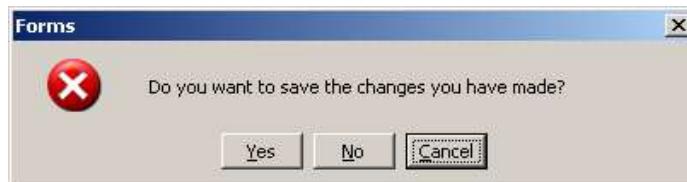
**CL** Client

**T** District

**VA** Victim Agency

**Agency/Code and Office** – Press **F9** and select the appropriate Agency.

Click on the **Exit** icon. The dialog box shown in Figure 4-28 displays.



**Figure 4-28: Save Changes Dialog Box**

Press **Yes** to **Save** changes and **Exit**.

Press **No** to **Exit** without saving.

Press **Cancel** to continue making changes.

#### 4.9. 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

You **MUST** be a member of a group in order to restrict access to that group.  
See the **System Manager** for assistance.

To add a group:

Select **Civil, Restrict Matter/Case** from the LIONS Main Menu as shown in Figure 4-29. Enter the USAOID for the case to be updated and press **F8**.

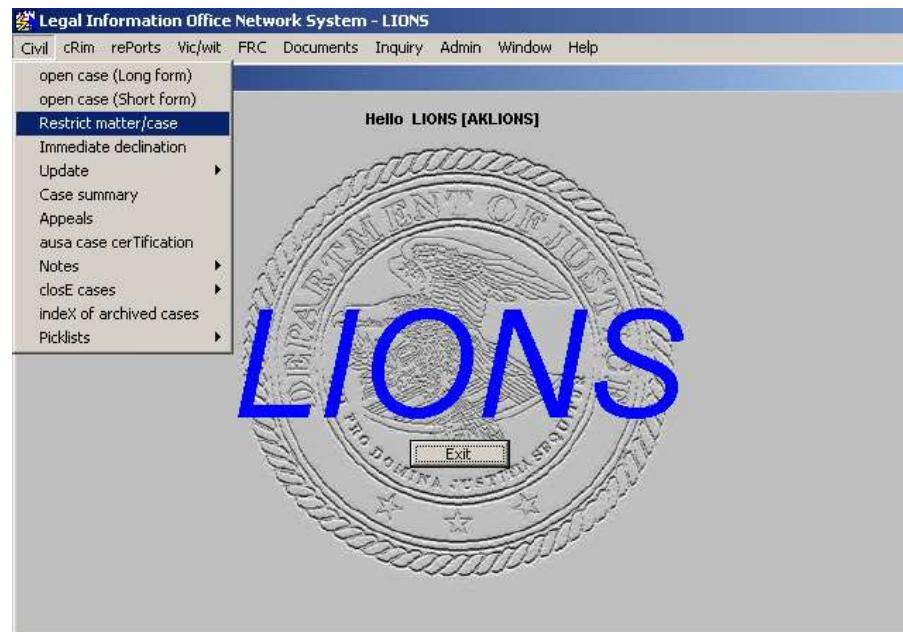


Figure 4-29: Restrict Matter/Case

The Staff Group form for the requested case opens as shown in Figure 4-30.

The screenshot shows the LIONS - CASE STAFF GROUP application window. At the top, there's a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu is a toolbar with icons for file operations like Open, Save, Print, and Exit. The main area is titled 'CASE' and displays the USAOID (2007V00708), Caption (John Smith vs HUD), and Status (A). A sub-section titled 'STAFF GROUP' contains a table with two columns: 'Name' and 'Description'. One row is visible, labeled 'CV' in the Name column and 'Civil Division' in the Description column. The bottom left corner of the window shows the date 'WED, 28-NOV-2007'.

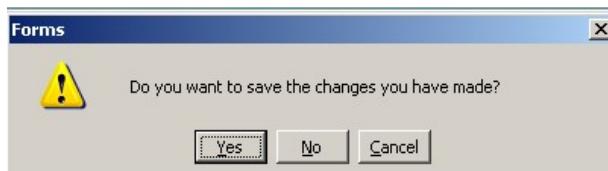
**Figure 4-30: Case Staff Group**

If more than one case is retrieved, press the **DOWN ARROW** until the civil action you want to restrict is displayed.

**DOWN ARROW** to a blank line or press **F6** to insert a blank line in the **STAFF GROUP** block.

**Name** - Press **F9** and select the new group to which the civil action will be accessible.

Click on the **Exit** icon. The dialog box shown in Figure 4-31 will display.



**Figure 4-31: Save Changes Dialog Box**

Click **Yes** to **Save** changes and **Exit** the form.

Click **No** to **Exit** without saving.

Click **Cancel** to continue making changes in the form.

## 4.10. Other General Case Information

As new general case information becomes available, or changes from the initial data entry, they can be entered. You can access the Case form by either of the following ways:

Select **Civil, Update, General Update, Case** from the LIONS Main Menu as shown in Figure 4-32. Enter the USAOID for the case to be updated and press **F8**.

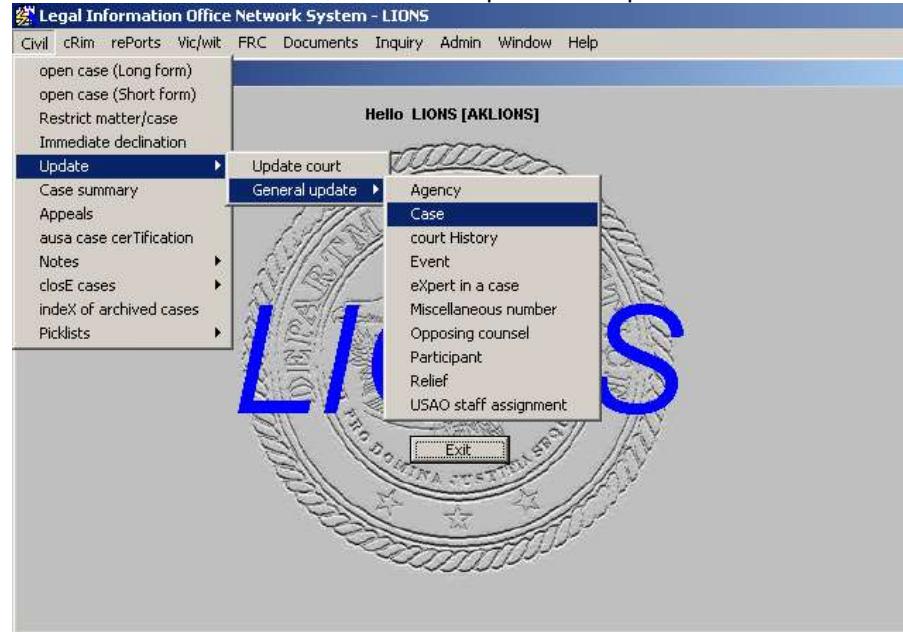


Figure 4-32: Case

OR

Select **Civil, Case Summary** from the LIONS Main Menu. Enter the USAOID for the case to be updated and press **F8**. Select **Case** from the Case Summary menu.

The Civil Open Long form for the requested case opens as shown in Figure 4-33.

The screenshot shows the LIONS - CIVIL OPEN LONG - [cvopen:1.19] application window. The menu bar includes Action, Edit, Record, Query, Window, and Help. The USAOID field is set to 2007Y00708 and the Caption field is set to John Smith vs HUD. The CASE section contains fields for Received Date (16-NOV-2007), Status (A), Active, Criminal Potential, Cause of Act (CRTH), Civil Rights - Fair Housing, US Role (P), U.S. is Plaintiff, DOJ Division (CIVR), Civil Rights Division, Case Restrict (Y), Yes, Security (S), Sensitive, ADR Mode, Unit (CV), Civil, Reservation, Related Flu Flag, Qui Tam Flag, Lit Resp (US), Case Handled Exclusively by, Branch (1), Eastern Pennsylvania, DOJ Number (546541), Lit Track, Special Proj (N), None of the Above, Weight (1), Project Indictment - 6 Months, Tribe, Type (HKF), Hurricane Katrina Fraud, and Total Victims. The COURT HISTORY section includes Court (ST), State Court, Appeal Type, Filing Date (27-NOV-2007), Service Date (27-NOV-2007), Start Date (28-NOV-2007), Disp Date, Judge (BMS), Disp, and Lead AUSA (AG). The AUSA section shows Start Date (27-NOV-2007). The date WED,28-NOV-2007 is displayed at the bottom left. Navigation icons for back, forward, and search are visible on the right.

**Figure 4-33: Civil Open Long**

Changes can be made in **ALL** fields in the **CASE** block.

**DO NOT** make changes to the **Court History** or **AUSA** blocks.  
See Section 4.11 *Court History* for information on updating Court History and AUSA.

## 4.11. Change in Court History Information

If you need to make a change to Court History, access the Court History form by using either of the following ways:

Select **Civil, Update, Update Court OR Civil, Update, General Update, Court History** from the LIONS Main Menu. Enter the USAOID of the case being updated and press **F8**.

OR

Select **Civil, Case Summary** from the LIONS Main Menu. Enter the USAOID for the case to be updated and press **F8**. Select **Court History** from the Case Summary menu.

The Court History record for the requested case opens as shown in Figure 4-34.

The screenshot shows the LIONS - COURT HISTORY application window. At the top, there's a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu is a toolbar with various icons. The main area has two main sections: 'COURT HISTORY' and 'COURT/PARTICIPANTS'. The 'COURT HISTORY' section contains a table with columns: Crt, Loc, Location, Filing Date, Service Date, Court Number, and AUSA. It lists two entries: one for State Court (Filing: 27-NOV-2007, Service: 27-NOV-2007, Court: 12345, AUSA: AG) and one for District Court (Filing: 16-NOV-2007, Service: 16-NOV-2007, Court: 65451, AUSA: AKL1). The 'COURT/PARTICIPANTS' section contains a table with columns: Role, Last Name, First Name, Cit, Status, Country, DI, Reason, and Date. It lists three participants: Smith, Joan (Role: D), Smith, James (Role: D), and Smith Property (Role: D). The bottom of the window shows the date WED, 28-NOV-2007.

**Figure 4-34: Court History**

**Location, Filing Date, Service Date, and Court Number CAN** be changed. The **Court CANNOT** be changed. If the Court is incorrect, the Court record must be deleted and a new Court record (and all associated records) must be created.

When you delete a Court History record, the system deletes records that are associated with that court, i.e., 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.

To change the Court/participant records, press **CONTROL + PAGE DOWN** to the **COURT/PARTICIPANTS** block.

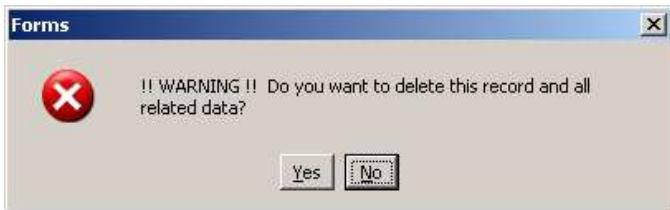
Highlight the appropriate court in the Court History block.

Press **F9** and select a participant to be added to the Court History.

Click **OK**.

Highlight a participant to be deleted from the Court History and press **SHIFT+F6**.

The warning message shown in Figure 4-35 displays.



**Figure 4-35: Delete Record Warning Message**

Click **Y (Yes)** to delete the participant and all records to which the participant is attached. The **PARTICIPANT** record will **NOT** be deleted.

Click **N (No)** to cancel the request.

**CONTROL + PAGE DOWN** or press to go to the **ASSIGNMENTS** block.

If the **Lead AUSA** is deleted, a new Lead AUSA **MUST** be entered.

Highlight the appropriate court in the Court History block.

**DOWN ARROW** to a blank line or press **F6** to insert a blank line.

**Inits** - Press **F9** and select a new staff member.

**Position** – Press **F9** and select the code for the staff member's position in the civil action.

**Start Date** – This field defaults to the current date. If this is incorrect, enter the date the new staff member was assigned to the civil action. The date entered cannot be later than the current date.

To delete an assignment, highlight the record to be deleted and press **SHIFT + F6**.

**CONTROL + PAGE DOWN** or press to go to the **COURT/JUDGES** block.

**DOWN ARROW** to a blank line or press **F6** to insert a blank line.

**Initials** - Press **F9** and select the new Judge assigned to the court.

**Start Date** - This field defaults to the current date. If this is incorrect, enter the date the new Judge was assigned to the civil action. The date entered **CANNOT** be later than the current date.

To delete a Judge, highlight the name press **SHIFT + F6**.

Click on the **Exit** icon and press **Yes** in the Save dialog box to save changes and exit the form.

## 4.12. Event/Scheduled Event (Calendar)

If a significant event occurs, or if you wish to schedule an event, you can access the Event form by either of the following ways:

Select **Civil, Update, General Update, Event** from the LIONS Main Menu as shown in Figure 4-36. Enter the USAOID for the case to be updated and press **F8**.

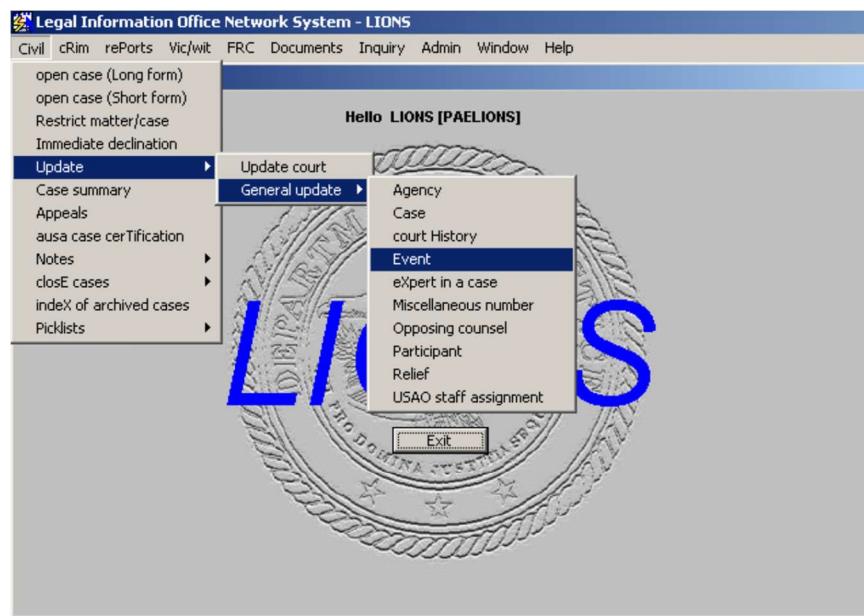


Figure 4-36: Event

OR

Select **Civil, Case Summary**. Enter the USAOID for the case to be updated and press **F8**.  
Select **Event** from the Case Summary menu.

The Event form for the requested case opens as shown in Figure 4-37.

The Event Code **CANNOT** be changed. The record **MUST** be deleted and a new record entered.

**Figure 4-37: Requested Event Record**

Highlight the appropriate court in the Court History block for which the event(s) is being added, updated, or scheduled.

Click on **See Participants** in the Court History block to see all Participants attached to the Court History.

The **PARTICIPANTS RELATED TO COURT** block opens as shown in Figure 4-38.

Press **ENTER** to close and return to the Event block.

**Figure 4-38: Participants Related to Court**

Click on **Case History Report** in the Event block to print a Case History Report. The dialog box shown in Figure 4-39 will display.



**Figure 4-39: Print Case History Report Dialog Box**

Click **Yes** to print the report.

Click **No** to close the dialog box and continue making changes.

To enter a new Event or Scheduled Event:

**Rel (Relate)** - Enter **Y** (Yes) to relate all of the participants attached to the selected Court to the new event or scheduled event. Enter **N** (No) if all participants are not related to the new event.

**Event** - Press **F9** and select the event code. When an Event Code is entered, an Event Date or Scheduled Date is required.

Districts have to contact TechOne to have event codes added.

**Action** - Press **F9** and select an Action code that further describes the event.

**Event Date** – Enter the date the event occurred. The date entered **CANNOT** be later than the current date. If you are scheduling a date, leave this field blank.

**Date Scheduled** – Enter the date the event is scheduled to occur, if applicable. Date Scheduled will appear on staff members' calendar reports. If a Date Scheduled is entered, an Event Date can be entered later to show that the scheduled event occurred.

**Time Scheduled** - Enter the time an event is scheduled to take place. Scheduled time will also appear on staff members' calendar reports.

**Staff Initials** - LIONS will automatically fill in the initials of the Lead Attorney. If this is incorrect, Press **F9** and select the appropriate Lead AUSA initials.

**Doc Code** (Document Code) – Press **F9** and select the document number for document generation purposes, if needed.

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

**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) – Press **F9** and select the initials of the Judge involved in the event or scheduled event.

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

See *Chapter 3, Civil Initiation* for further instructions on entering Event information.

If Rel (Relate) field is Y (Yes), the **Participants Related to Events** block shown in Figure 4-40 opens showing all participants attached to the Court History record have been related to the new event.

The screenshot shows the LIONS - EVENT screen with the following details:

- CASE**: USAOID: 2007V00695, Caption: John Smith vs IRS, Status: A
- COURT HISTORY**: Court Location: BC (Bankruptcy Court), Filing Date: 17-OCT-2007, Court Number: 654123. A "See Participants" button is present.
- EVENT**: A table showing events with columns: Rel Event, Action, Event Date, Date Scheduled, Time Scheduled, Staff INIT. The rows include:
  - ACDU: Answer Due (PD, 17-OCT-2007, 20-OCT-2007, AB)
  - AMDC: Amended Complaint (FI, 17-OCT-2007, 18-OCT-2007, AG)
  - CNCL: Counterclaim (DN, 17-OCT-2007, 22-OCT-2007, AG)
  - AMDA: Amended Answer (ST, 17-OCT-2007, 20-OCT-2007, AG)
- PARTICIPANTS RELATED TO EVENTS**: A table showing participants with columns: Role, Last Name, First Name, Disp, Reason, Disp Date. The rows include:
  - D: Smith, James
  - CR: ABC Co.
- Bottom status bar: WED,17-OCT-2007

Figure 4-40: All Participants Related to Event Confirmation

If you entered N (No) in the first column of the Event block (**Rel**), you will receive a pop-up block as shown in Figure 4-41.

To relate selected Participants to the new Event:

- TAB from the Judge Init field to open the **RELATE PARTICIPANTS TO AN EVENT** screen

The screenshot shows the LIONS - EVENT screen with the following details:

- RELATE PARTICIPANTS TO EVENTS**: A table showing participants with columns: X, Role, Last Name, First Name, Disp, Reason, Disp Date. The rows include:
  - D: 123 Oak Street
  - D: ABC Co.
  - D: Johnson, William
- EVENT**: A table showing events with columns: Rel Event, Staff Last Name, Doc #, Doc Staff INIT, Doc Date, Location Scheduled, Judge INIT, Judge Last Name. The rows include:
  - ACDU: Givhan, LIONS, CG, GREEN
  - AGNT: Givhan, LIONS, BIF, FOX
  - AMDA: Givhan, LIONS, CRW, WEINER
- EVENT COMMENTS**: A text input field.
- Bottom status bar: FRI,30-NOV-2007

Figure 4-41: Relate Participants to Events

Enter an X for each participant in the Court History record related to the new Event.

You **MUST** make this relationship to reflect a litigant's last event on reports.

Press **Enter** to return to the Event screen. As shown in Figure 4-42, the selected Participant is now attached to the new Event.

Rel_Event	Staff Last Name	Doc #	Doc Staff INIT	Doc Date	Location Scheduled	Judge INIT	Judge Last Name
ACDU	Givhan					CG	GREEN
AGNT	Givhan		LIONS				
AGNT	Givhan					BIF	FOX
N AMDA	Givhan		LIONS			CRW	WEINER

Role	Last Name, First Name	Disp Reason	Disp Date
D	123 Oak Street		

**Figure 4-42: Selected Participant Related to Event**

**CONTROL + PAGE DOWN** to the **EVENT COMMENTS** block.

- **Event Comments** – This is a free-form field. Enter comments as appropriate. Enter text as you would in Word. You can enter approximately 35 lines of text. To expand the comment screen or to edit comments, press **ALT + E** and select **Edit** from the menu. The on-line Editor will open as shown in Figure 4-43.

**Figure 4-43: Event Comments**

### 4.13. Expert in a Case

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 by either of the following ways:

Select **Civil, Update, General Update, Expert in a Case**. Enter the USAOID for the case to which the new Expert will be attached and press **F8**.

OR

Select **Civil, Case Summary**. Enter the USAOID for the case being updated and press **F8**.  
Select **Expert/Case** from the Case Summary menu.

The **EXPERT IN A CASE** form for the requested case opens as shown in Figure 4-44. The **Expert Side** data **CAN** be changed. **Inits** and **Type** **CANNOT** be changed.

The screenshot shows the LIONS - EXPERT IN A CASE window. At the top, it displays the case number 2007V00695 and the caption "John Smith vs IRS". Below this is a grid titled "EXPERT CASE" with columns: "Expert Side", "Inits", "Last Name, First Name", and "Type". The first two rows of the grid show data for experts "Cardi, Caetano" and "Reconstruction, Accident", both listed under "Government" as the "Expert Side", "CC" and "AR" as "Inits", and "GEN" as "Type". There are 12 rows in total in the grid. Below the grid is a section labeled "EXPERT COMMENTS" with a large text input field. At the bottom left of the window, the date "MON,22-OCT-2007" is displayed.

**Figure 4-44: Expert in Case**

**Expert Side** – Press **F9** and select the code that identifies the side for which the Expert will testify. Enter **G** (Government) or **O** (Opposing Side).

**Inits** (Initials) – Press **F9** and select the initials of the new expert.

**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. The codes for this field are established by your district. (LOV)

**Expert Comments** –Enter comments as appropriate. Enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To expand the comment screen or to edit the comment, press **ALT + E** and select **Edit** from the menu.

To enter additional experts, press the **DOWN ARROW** to go to a blank line or press **F6** to add a blank line and enter data for the new Expert.

#### 4.14. Miscellaneous Numbers (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 Numbers form from the Civil/Update/General Update or the Civil/Update/Case Summary screen, as shown in Figure 4-45.

The screenshot shows a computer window titled "LIONS - MISCELLANEOUS NUMBERS - [gnmscnum:1.2]". The menu bar includes Action, Edit, Record, Query, Window, and Help. A toolbar on the left contains icons for New, Open, Save, Print, and Help. The main area is a grid table with the following columns: USAOID, Caption, DCMNS, Physical Location, and FRC #. The first row contains data: USAOID 2007V00695, Caption John Smith vs IRS, and empty fields for DCMNS, Physical Location, and FRC #. Below the grid is a status bar displaying "MON,22-OCT-2007".

**Figure 4-45: 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.

#### 4.15. Opposing Counsel Information

To track Opposing Counsel information within a case, you can access the Opposing Counsel form in either of the following ways:

- Select **Civil, Update, General Update, Opposing Counsel** from the LIONS Main Menu. Enter the USAOID for the case to which the new counsel will be added and press **F8**.

OR

- Select **Civil, Case Summary** from the LIONS Main Menu. Enter a USAOID and press **F8**. Select **Opposing Counsel** from the Case Summary menu.

The **OPPOSING COUNSEL** form for the requested case opens as shown in Figure 4-46. To return a series of cases, enter a partial **USAOID** followed by the **%** sign and press **F8**.

**Figure 4-46: Civil Update – Opposing Counsel**

To change current information:

From the Participant block, press **CONTROL + PAGE DOWN** to go to the **OPPOSING COUNSEL** block.

**DOWN ARROW** to move through the Opposing Counsel records and highlight the record to be updated.

To delete the record:

- Press **SHIFT + F6** in any field in the selected record.

To change information:

- **Inits** or **Type** - Press **F9** and select the new code.
- **Start Date** – Enter a new date.
- **End Date** – Enter the date the Opposing Counsel's involvement in the case ended.

To add a new Opposing Counsel:

**DOWN ARROW** to a blank line or press **F6** to insert a line.

- **Inits** - Press **F9** and select the initials for the new Opposing Counsel.
- **Start Date** – Enter date the new Opposing Counsel was assigned to the case.
- **End Date** – Not used when entering a new record.

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 4.17.2, Opposing Attorney* for additional information on the Opposing Attorney Picklist.

## 4.16. Participant Information

To add or change Participant information for a civil action:

- Select **Civil, Update, General Update, Participant** from the LIONS Main Menu. Enter a USAID and press **F8**.

OR

- Select **Civil, Case Summary** from the LIONS Main Menu. Enter a USAID and press **F8**. Select **Participant** from the Case Summary menu.

LIONS will open the **PARTICIPANT** form for the requested case as shown in Figure 4-47.

**Figure 4-47:** Civil Update – Participant

The **Type** code **CANNOT** be changed in the Participant screen. If Type is incorrect, delete the participant record and enter a new record with the correct Type.

If **Role** begins with **D** or **P**, it can **ONLY** be changed to another code beginning with **D** or **P**.

To change **Role** to a code that does not begin with **D** or **P**, **DELETE** the participant record and enter a new record with the new Role code.

**Caution:** Deleting a Participant related to **Court History**, **Relief**, or **Event** records, requires that these relationships be re-established if necessary.

The code entered in the **Type** field determines the screens used to enter Participant information.

If Participant Type is I (Individual) refer to Chapter 3, Sections 3.7.7.1 and 3.7.7.2 for the forms and instructions for entering data for Individual participants. Press  to navigate through the forms.

If Participant Type is B (Business) refer to *Chapter 3, Sections 3.7.7.3 and 3.7.7.4* for the forms and instructions for entering data for Business participants.

If Participant Type is **P (Property)** refer to *Chapter 3, Sections 3.7.7.5 and 3.7.7.6* for the forms and instructions for entering data for Property participants.

To track multiple appraisals for a piece of property:

- Highlight the property record in the Participant block.

Press to navigate to the Property Value block shown in Figure 4-48.

The screenshot shows the LIONS - PARTICIPANT INFORMATION window with the following details:

- CASE**: USAOID: 2007V00695, Caption: John Smith vs IRS, Status: A
- PROPERTY** tab: Name: 1200 Oak Street, Role: D, Type: [empty], Total Tracts: [empty], CATS Asset ID: [empty], Address: [empty]
- PROPERTY VALUE** tab: A table with columns Type, Value, Prop Date. The first row contains AP, Appraised, 1,000,000.00, 21-OCT-2007. Subsequent rows are empty.
- Bottom status bar: MON,22-OCT-2007

Figure 4-48: Property Value

- **Type** - Press **F9** and select a code for the type of valuation.
- **Value** - Enter the dollar value (do not enter \$).
- **Prop Date** (Property Date) - Enter the date the valuation was made.

As shown in Figure 4-49, multiple records can be entered to track different appraisals received on property or the actual proceeds received from any sale of the property.

The screenshot shows the LIONS - PARTICIPANT INFORMATION window with the following details:

- CASE**: USAOID: 2007V00695, Caption: John Smith vs IRS, Status: A
- PROPERTY** tab: Name: 1200 Oak Street, Role: D, Type: [empty], Total Tracts: [empty], CATS Asset ID: [empty], Address: [empty]
- PROPERTY VALUE** tab: A table with columns Type, Value, Prop Date. It contains three rows of data:
 

Type	Value	Prop Date	
AP	Appraised	1,000,000.00	21-OCT-2007
ES	Estimated Value	500,000.00	22-OCT-2007
NE	Net Value Realized	500,000.00	22-OCT-2007
- Bottom status bar: MON,22-OCT-2007

Figure 4-49: Multiple Appraisals for Property

## 4.17. Picklists

There are several look-up tables in LIONS which the district has total control. These look-up tables are called Picklists. Districts can add, change or delete entries for **AGENCY OFFICE**, **OPPOSING ATTORNEY**, **EXPERT** or **JUDGE** as necessary to meet local requirements. Information added to any of the Picklists will automatically be reflected in the LOV for the field.

- Select **Civil, Picklists** from the LIONS Main Menu as shown in Figure 4-50.

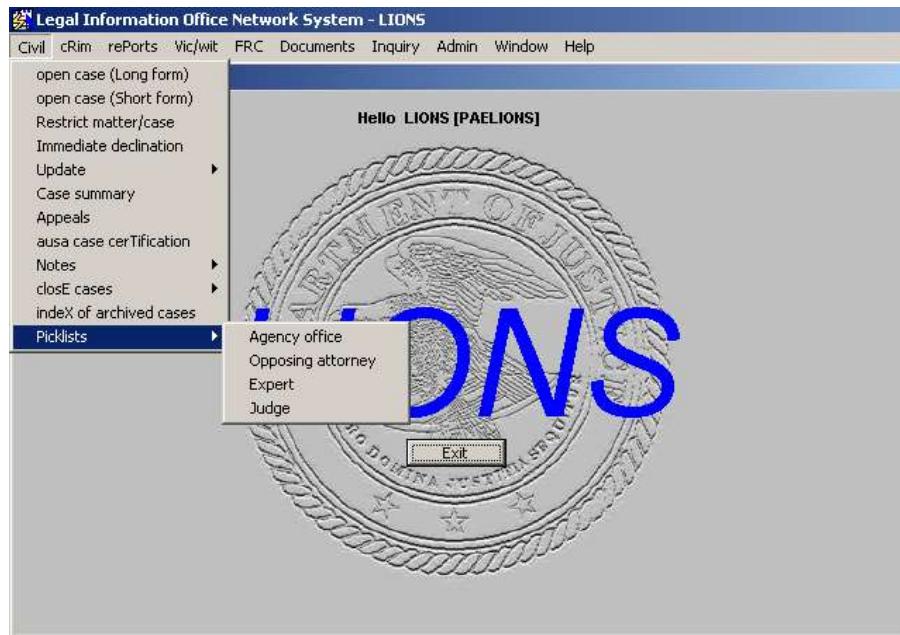
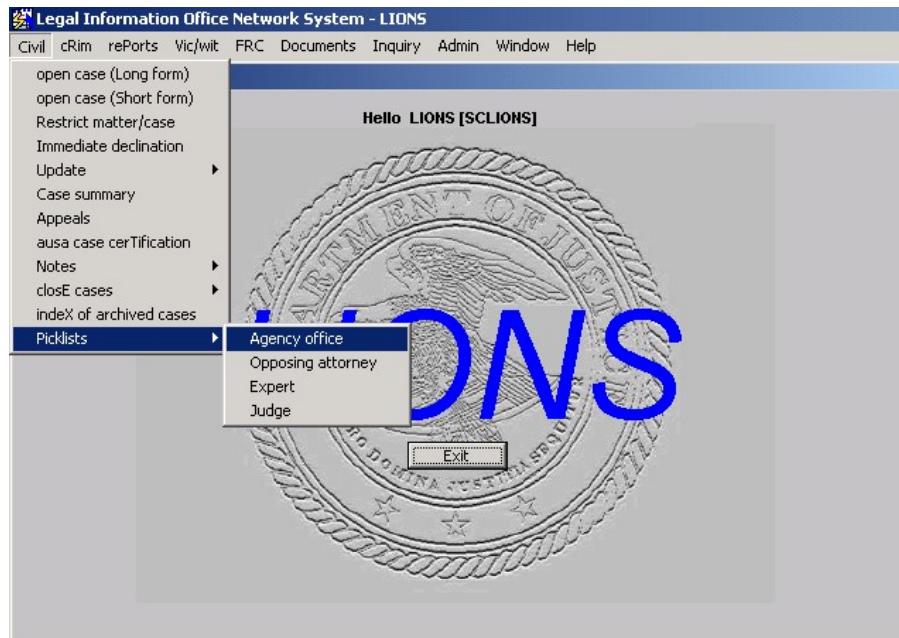


Figure 4-50: Civil Update - Picklists

### 4.17.1. Agency Office

This option allows you to capture multiple addresses for the same agency within a branch. To access the form:

- Select **Agency Office** from the Picklists menu as shown in Figure 4-51.



**Figure 4-51: Picklist - Agency Office**

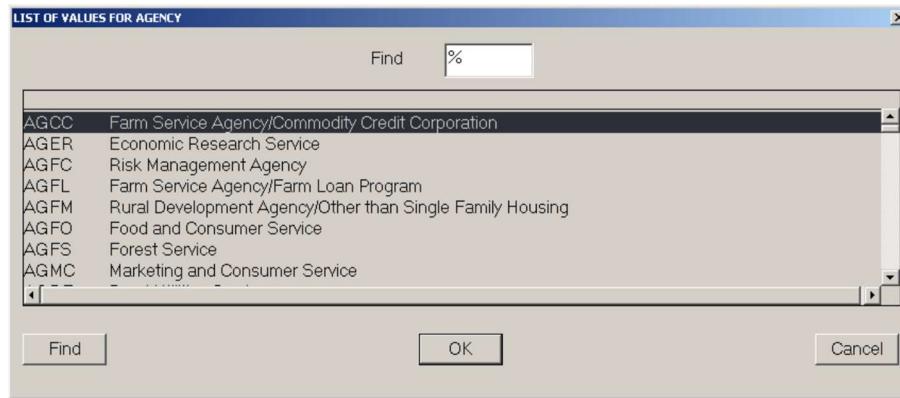
The screen shown in Figure 4-52 opens.

**Figure 4-52: Agency Office Picklist Form**

- Press **F7** to open up the Agency field. Then you can either:  
Enter the Agency code and description if known.

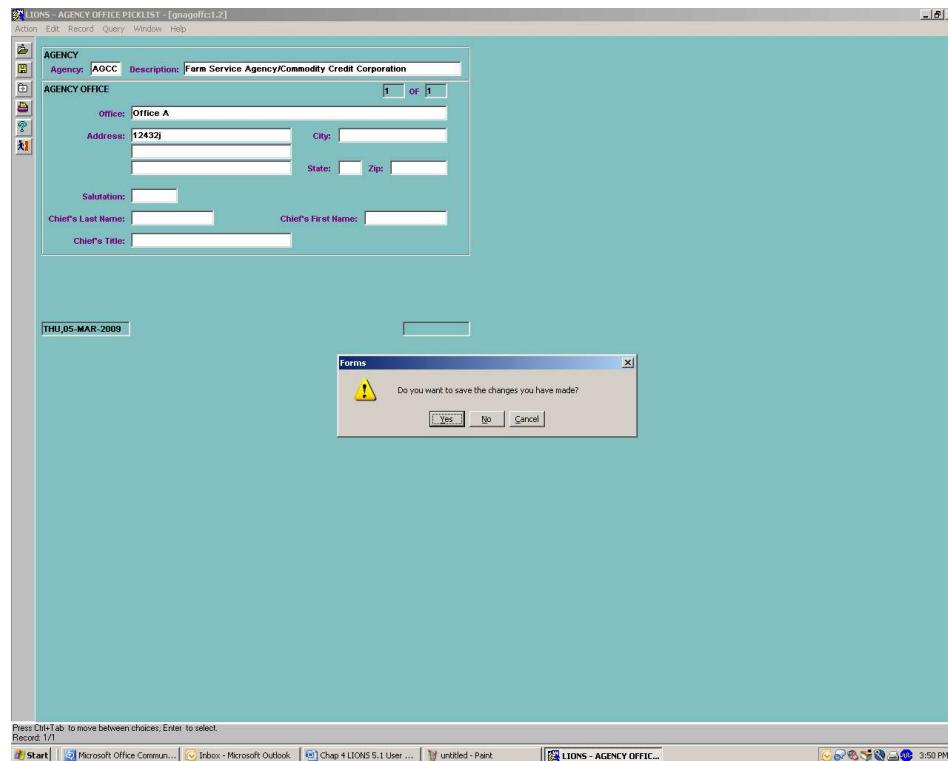
OR

- Press **F9** to display the Agency LOV, as shown in Figure 4-53.

**Figure 4-53: Agency LOV**

- Select the code for the Agency for which the new address is being added and press **OK**.
- Select **Query, Execute**.
- Enter the new address. If you have another address to enter for the same agency, press **DOWN ARROW** to go to a blank record or press **F6** to add a blank record and continue data entry.

Press **F8** and a pop-up dialog box, as shown in Figure 4-54, will appear.

**Figure 4-54: Agency Office Save Dialog Box**

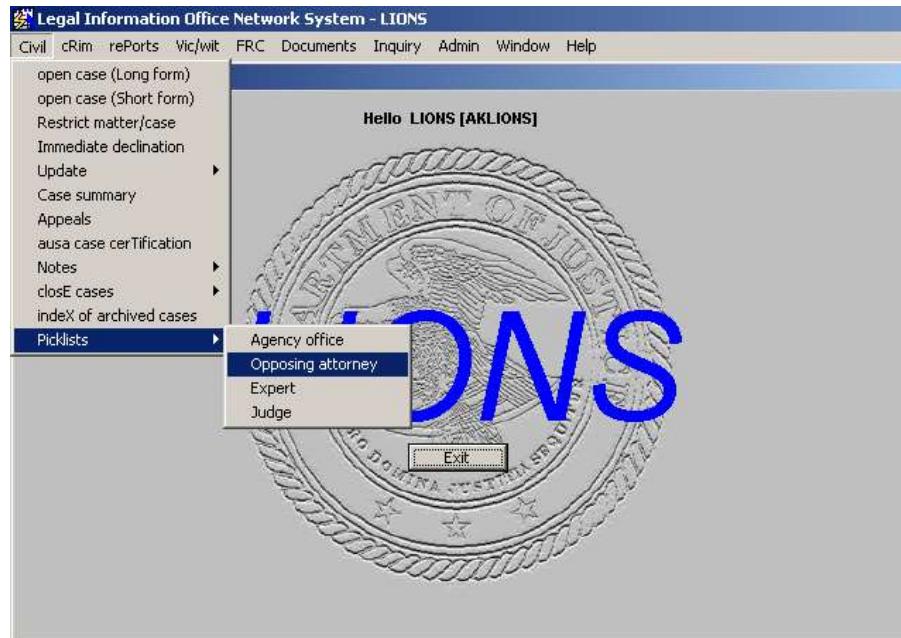
- Click the appropriate button.
- Press the **Exit** icon to **Exit** the Agency Office screen.

The next time the agency code is entered in a case, you can press **F8** and LIONS will automatically populate the address in Agency Office block.

#### 4.17.2. Opposing Attorney

This option allows you to capture pertinent information concerning an opposing attorney. To add an attorney to the Opposing Attorney Picklist:

- Select **Opposing Attorney** from the Picklists menu as shown in Figure 4-55.



**Figure 4-55: Picklist - Opposing Attorney**

The Opposing Attorney Picklist shown in Figure 4-56 opens.

**Figure 4-56: Opposing Attorney Picklist**

**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 the appropriate salutation; e.g., Ms.

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

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

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

**Phone** - Enter the phone number of the Opposing Attorney.

**Fax** – Enter the Fax number for the Opposing Attorney.

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

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

To enter another Opposing Attorney press the **DOWN ARROW** to go to a blank record or press **F6** to add a blank record and continue data entry.

- Press the **Save** icon to save the changes
- Press **Exit** icon to exit the Opposing Attorney screen.

#### 4.17.3. Expert

This option allows you to capture information about expert witnesses, including the type of expert; e.g., Banker. To add an Expert to the Expert Picklist:

- Select **Expert** from the Picklists menu as shown in Figure 4-57.

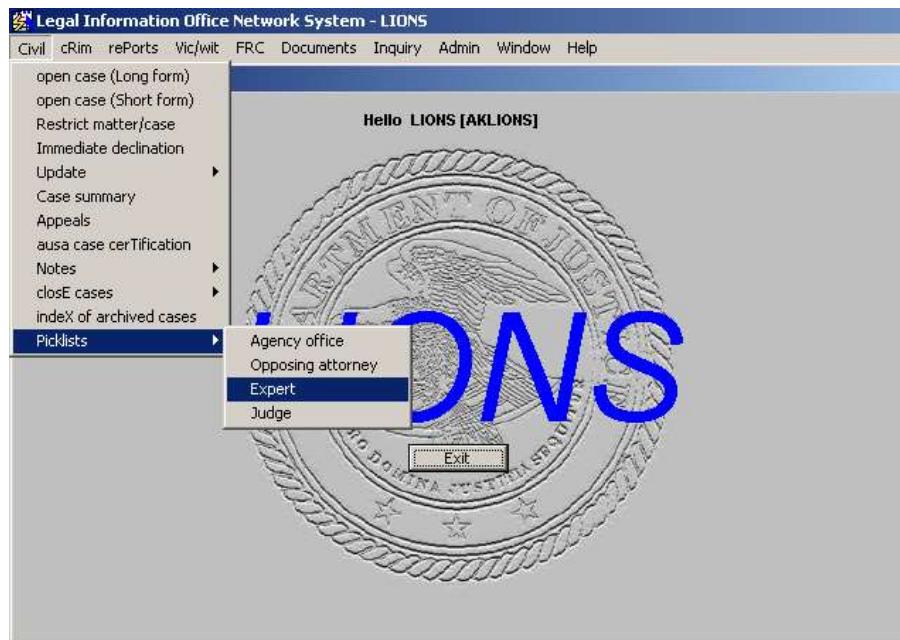


Figure 4-57: Picklist – Expert

The screen shown in Figure 4-58 will display.

**Figure 4-58: Expert**

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

**Init Stat (Initials Status)** – Press **F9** and select **Active** to Indicate that the Expert is actively involved in cases within the district, or **Inactive** if there is no involvement 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** and select a code for the Expert's area of expertise.

**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.

**Expert Comments** - A Comments block is provided for additional notes, if applicable. Enter text as you would in WordPerfect. You can enter approximately 35 lines of text.

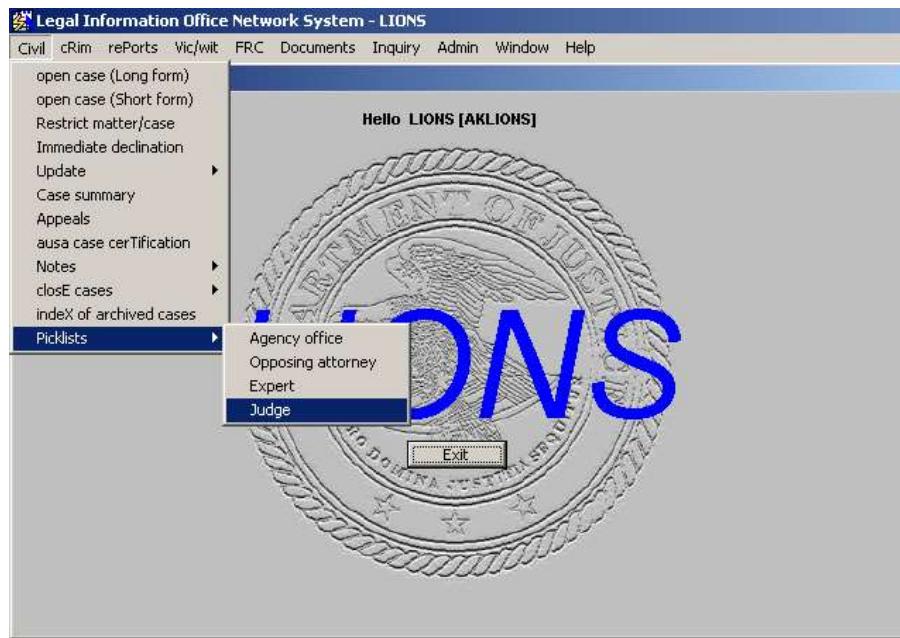
To enter another Expert, press the **DOWN ARROW** to go to a blank record or press **F6** to add a blank record and continue data entry.

- Press the **Save** icon to save the changes
- Press **Exit** icon to exit the Opposing Attorney screen.

#### 4.17.4. Judge

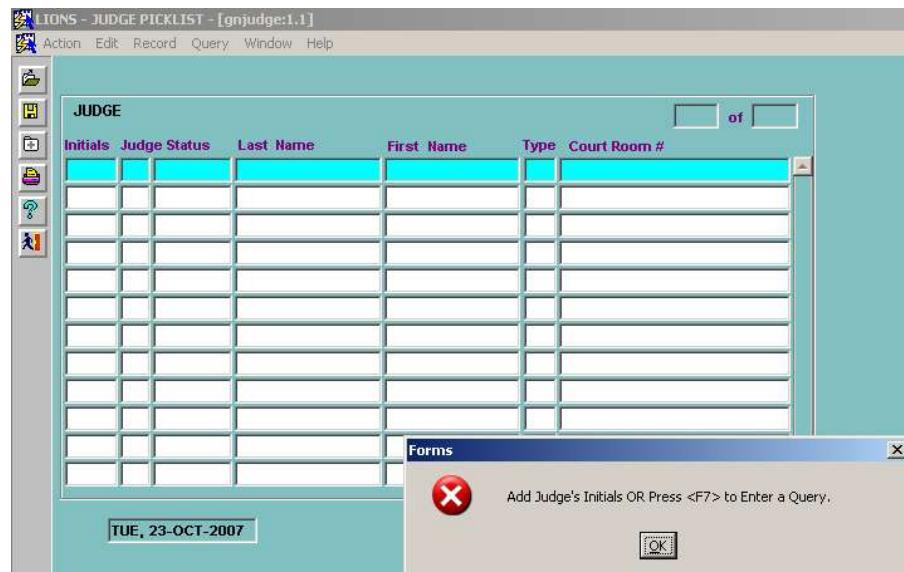
This option allows you to capture information about judges. To add a Judge to the Judge Picklist:

- Select **Judge** from the Picklists menu as shown in Figure 4-59.



**Figure 4-59: Picklist – Judge**

The screen and dialog box shown in Figure 4-60 will display.



**Figure 4-60: Judge**

Click **OK**.

The Judge Picklist shown in Figure 4-61 will open.

JUDGE					
Initials	Judge Status	Last Name	First Name	Type	Court Room #
TMG	A	Active	Golden	Thomas M.	
TMT	A	Active	TWARDOWSKI	THOMAS M	
TNO	I	Inactive	ONEILL	THOMAS N, JR	
TON	A	Active	O'NEILL	THOMAS N.	
TRR	A	Active	RICE	TIMOTHY R.	
VA	A	Active	VANARTSDALEN	DONALD W.	
WAK	A	Active	KING	WILLIAM A, JR	
WD	A	Active	DITTER	J. WILLIAM	
WFH	A	Active	HALL	WILLIAM F, JR	
WH	I	Inactive	YOHN	WILLIMA H.	
WHY	I	Inactive	YOHN	WILLIAM H.	
WY	A	Active	YOHN	WILLIAM H.	

Figure 4-61: Judge Picklist

- Press **F7** to enter a query.

To add a Judge:

**DOWN ARROW** to a blank line or click in any field and press **F6** to add a blank record.

**Initials** - Enter unique initials to identify the new Judge.

**Judge Status** – Press **F9** and select **Active** to indicate that the Judge is actively involved in cases within the district, or **Inactive** if there is no involvement within the district.

**Last Name** - Enter the new Judge's last name.

**First Name** - Enter the new Judge's first name.

**Type** - Press **F9** and select the type code established by the district.

**Courtroom #** - Enter the Judge's Courtroom number.

To enter another Judge, press the **DOWN ARROW** to go to a blank record or press **F6** to add a blank record and continue data entry.

Press the **Save** icon to save the changes.

Press **Exit** icon to exit the Judge Picklist.

## 4.18. 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 for the file or to mark the file for permanent retention. Court Disposition, Closing Relief, and Closing Appeals information can be captured in this screen if it has not yet been recorded.

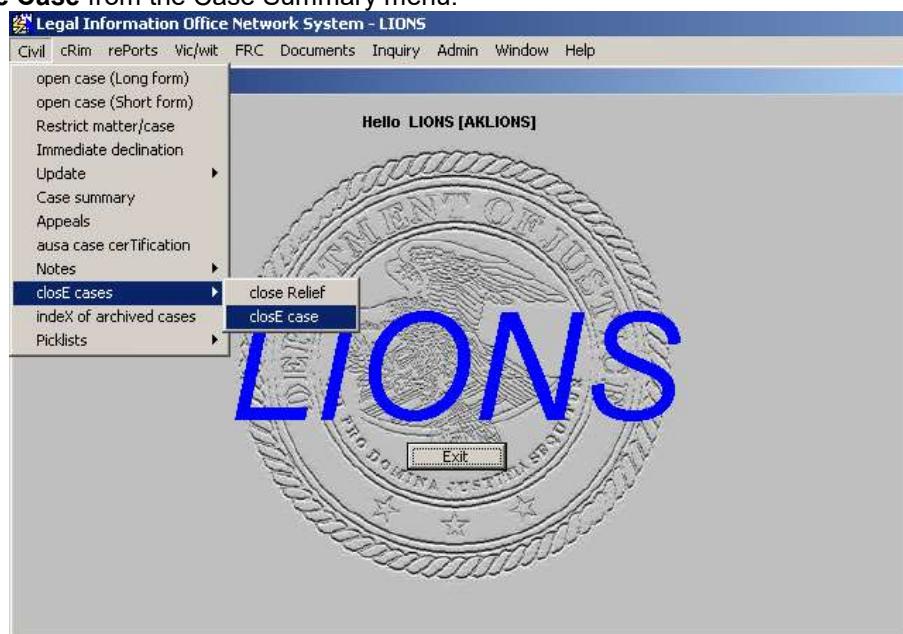
To close a civil case:

Select **Civil, Close Cases, Close Case** from the LIONS Main Menu as shown in Figure 4-62.

Enter a USAOID and press **F8**.

OR

Select **Civil, Case Summary** from the LIONS Main Menu. Enter the USAOID and press **F8**. Select **Close Case** from the Case Summary menu.



**Figure 4-62: Civil Close Cases**

The **Close a Case** screen for the requested case opens as shown in Figure 4-63.

The screenshot shows the LIONS - CLOSE A CASE window. The USAID field contains '2007V00708' and the Caption field contains 'John Smith vs HUD'. In the CASE section, the Recvd Date is '16-NOV-2007', Status is 'A Active', and the Destruct Date is empty. The Close Date and Perm fields are also empty. The LAST COURT STAGE block shows Court: ST State Court, Judge: BMS SCHILLER ,BERLE M., Disposition: [empty], Disp Reason: [empty], Court #: 12345, Trial Days: [empty], and Disp Date: [empty]. The ASSIGNMENT block shows Lead AUSA: AG Gershengorn, Ara. The RECORDS DISPOSITION block shows three rows: Incomplete (Status) with Record(s) to be Disposed (2), Court Dispositions; Incomplete (Status) with Record(s) to be Disposed (1), Relief; and Completed (Status) with Record(s) to be Disposed (0), Appeals. Buttons for Add Event and Add Misc # are visible. The date MON, 10-DEC-2007 is at the bottom.

**Figure 4-63: Close a Case**

Certain fields in the **CASE** block, **LAST COURT STAGE** block, **ASSIGNMENT** block and **RECORDS DISPOSITION** block are pre-populated from information entered previously.

**Destruct Date** – Calculates when the status updates to **C** (Completed).

#### 4.18.1. Closing a Civil Case

In the **CASE** block:

**Perm** (Permanent) - Enter **Y (Yes)** or **N (No)** to indicate whether files are permanent. 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** – Press **F9** and select:

**Y (Yes)** if the file will be referred to the Financial Litigation Unit.

**R (Referred to Agency)** if the file is being returned to the agency for post-disposition collection activities.

**N (No)** if neither of these conditions applies.

In the **RECORDS DISPOSITION** block:

The number in the **Record(s) to be Disposed** column indicates the number of records of each type to be closed.

If **Status** is **Completed**, no action is required.

If **Status** is **Incomplete**:

Press **F3** to go to the **COURT/PARTICIPANTS** block of the **COURT HISTORY** as shown in Figure 4-64.

The screenshot shows the LIONS - COURT HISTORY application window. At the top, there's a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu is a toolbar with icons for file operations like Open, Save, Print, and Help.

**CASE**  
USAOID: 2007V00708 Caption: John Smith vs HUD Status: A Total Trial Days for Case: 0

**COURT HISTORY**

Crt	Loc	Location	Filing Date	Service Date	Court Number	AUSA
ST		State Court	27-NOV-2007	27-NOV-2007	12345	AG
DC		District Court	16-NOV-2007	16-NOV-2007	65451	AKL1
[Empty rows]						

**COURT/PARTICIPANTS**

Role	Last Name, First Name	Cit	Status	Country	DI	Reason	Date
D	Smith, Joan						
D	Smith, James						
D	Smith Property,						
[Empty rows]							

MON, 10-DEC-2007

**Figure 4-64: Close Court History**

Click in the **COURT HISTORY** block to select the appropriate Court.

Select the Participant from the **COURT/PARTICIPANTS** block.

**Di (Disposition)** - Click in the field and press **F9** to access Disposition Codes. Enter a disposition code for the record.

**Date** – Enter the date of record disposition.

To receive credit for Civil cases disposed of **by Trial**, one of the following Disposition Codes **MUST** be entered:

**JJ** Judgment/Order/Decision for U.S. - Jury Trial

**JT** Judgment/Order/Decision for Opposing Party - Jury Trial

**JX** Judgment/Order/Decision for U.S. – Non-jury Trial

**JY** Judgment/Order/Decision for Opposing Party – Non-jury Trial

To receive credit for Civil cases disposed of **without Trial** one of the following Disposition Codes **MUST** be entered:

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

**JU** Judgment/Order/Decision for U.S. (No 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.

Press the **Exit** icon and click **Y (Yes)** in the Save Dialog box to save changes and go to the **CLOSE A CASE** screen.

See *Section 4.11, Court History* for additional information on closing Court Disposition records.

#### 4.18.2. Close Relief

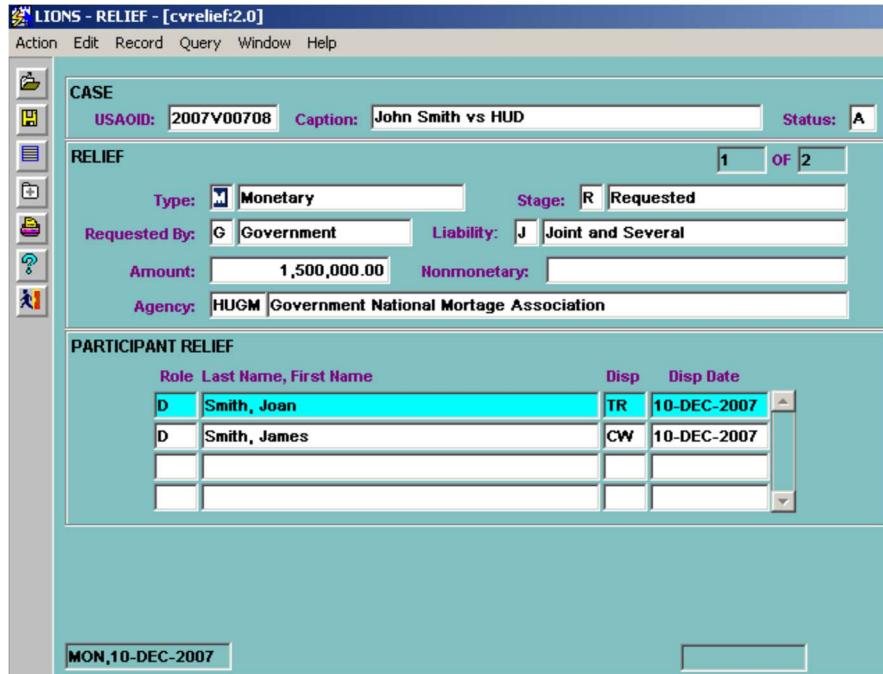
The number of **Relief** records in the **RECORDS DISPOSITION** block will be 0 or 1. If the number in the field is 0, no action is required.

If the number in the field is 1, from the **Close a Case** screen:

- **DOWN ARROW** to highlight the Relief record.

Press **F3** or Click the **GoTo** button  to go to the **Relief** screen for the civil case.

Press the **Relief** button from **Case Summary** form to access **Relief** form, as shown in Figure 4-65.



**Figure 4-65: Relief**

In the **RELIEF** block:

**DOWN ARROW** to open a blank form.

For each Relief record with a Stage of R (Requested):

Enter a new Relief record with a Stage of:

**G** Granted

**D** Denied

**X** Neither

Press the **Exit** icon and click **Y** (Yes) in the Save Dialog Box to save changes and go to the **CLOSE A CASE** screen.

See *Section 4.4, Relief* for additional information on entering Relief records.

#### 4.18.3. Close Appeals

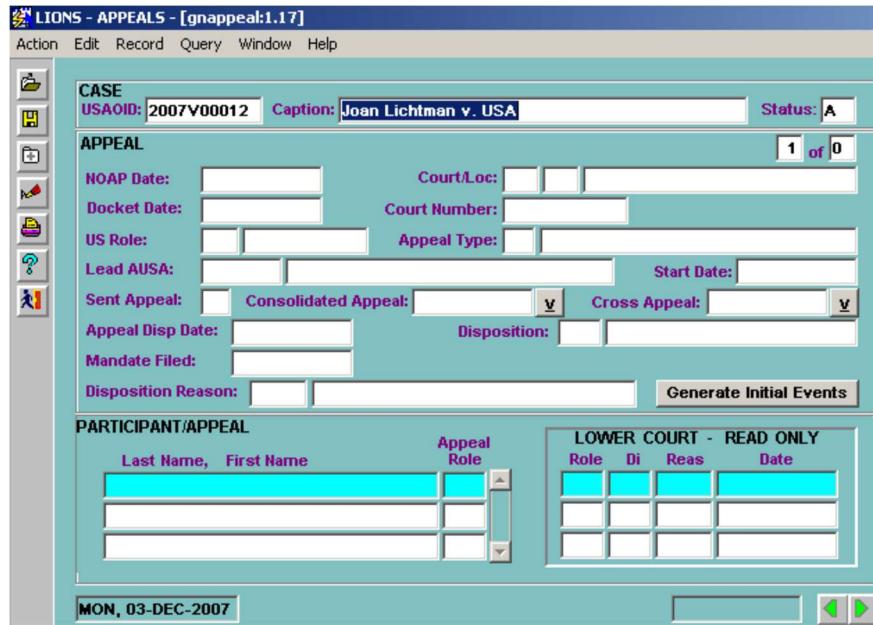
The number in the **RECORDS DISPOSITION** block indicates the number of Appeals records to be closed. If the number in the field is 0, no action is required.

If the number in the field is 1:

From the **Close a Case** screen:

- **DOWN ARROW** to highlight the **Appeal** record.

Press **F3** or click the **GoTo** button  to go to the **Appeals** screen for the civil case.  
The Appeals screen for the requested case opens as shown in Figure 4-66.

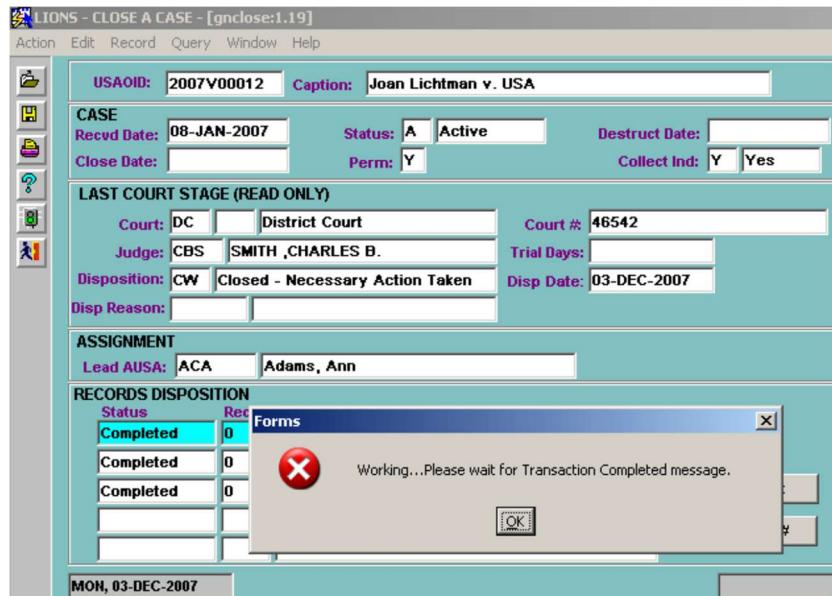


The screenshot shows the LIONS - APPEALS application window. At the top, it displays the case number USAOID: 2007V00012 and caption: Joan Lichtman v. USA. Below this, the 'APPEAL' section contains fields for NOAP Date, Court/Loc, Docket Date, Court Number, US Role, Appeal Type, Lead AUSA, Start Date, Sent Appeal, Consolidated Appeal, Cross Appeal, Appeal Disp Date, Disposition, Mandate Filed, and Disposition Reason. A 'Generate Initial Events' button is also present. The 'PARTICIPANT/APPEAL' section includes a grid for Last Name, First Name and Appeal Role, and a 'LOWER COURT - READ ONLY' grid for Role, Di, Reas, and Date. The bottom of the screen shows the date MON, 03-DEC-2007.

**Figure 4-66: Appeals**

See *Chapter 8, Appeals* for instructions on closing appeals.

When all records have been updated press **F10** to accept/save updates. The dialog box shown in Figure 4-67 opens.



The screenshot shows the LIONS - CLOSE A CASE application window. It includes fields for USAOID, Caption, Recvd Date, Status (set to Active), Close Date, Perm, and Collect Ind. The 'LAST COURT STAGE (READ ONLY)' section shows Court: DC, District Court; Judge: CBS, SMITH, CHARLES B.; Disposition: CW, Closed - Necessary Action Taken; Trial Days: and Disp Date: 03-DEC-2007. The 'ASSIGNMENT' section shows Lead AUSA: ACA, Adams, Ann. The 'RECORDS DISPOSITION' section shows a table with columns for Status and Res, with three rows all marked as Completed. A confirmation dialog box titled 'Forms' is overlaid on the screen, displaying the message 'Working...Please wait for Transaction Completed message.' with an OK button.

**Figure 4-67: Save**

Click **OK**.

The Confirmation Dialog Box shown in Figure 4-68 opens.

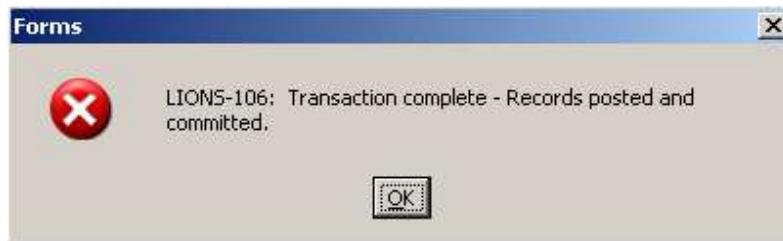


Figure 4-68: Confirmation Dialog Box

Click **OK**.

The Case Query Report Dialog Box shown in Figure 4-69 will display.



Figure 4-69: Case Query Report Dialog Box

Press **Y** (Yes) to print a report. Press **N** (No) to Exit.

As shown in Figure 4-70, the **CASE** block, **Status** is **C** (Completed). The **RECORDS DISPOSITION** block **Status** is **Completed** and **Records to be Disposed** is **0** for each type of record.

CASE		LAST COURT STAGE (READ ONLY)		ASSIGNMENT		RECORDS DISPOSITION	
USAOID:	2007V00012	Caption:	Joan Lichtman v. USA				
Recvd Date:	08-JAN-2007	Status:	C Completed	District Court	Court #:	46542	
Close Date:	03-DEC-2007	Perm:	Y	SMITH ,CHARLES B.	Trial Days:		
				Closed - Necessary Action Taken	Disp Date:	03-DEC-2007	
				Disp Reason:			
						Add Event	
						Add Misc #	
MON, 03-DEC-2007							

Figure 4-70: Closed Civil Case

## 5.0 CRIMINAL INITIATION

This chapter provides instructions for initiating and managing criminal cases in LIONS using a series of screens which collect detailed information concerning the following:

**Case** - Provides an overview of the case. It contains 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** – Creates a history of all court filings 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** - Tracks the AUSAs and other staff assigned to a case. At a minimum, you must track the Lead Attorney. This assignment information is used by LIONS to create individual and master calendars.

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

**Participants** – Stores detailed information -- demographics, identification numbers, and property values -- for all types of 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. At a minimum, one defendant must be entered for each case.

**Opposing Counsel** – Tracks opposing counsel at all stages of the case.

**Controlled Substance** – Tracks information on controlled substances; includes type and quantity of all substances in the case.

**Instrument/Charge/Count** – Stores a complete history of all charging instruments, including all charges and counts by defendant.

**Events** - Tracks 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 deems necessary.

**Related Cases** - Participant or case records linked to show relationships among participants or cases. For example, a criminal case that involves forfeitures related to a companion civil forfeiture case. When the first Related Case record is entered linking the criminal case to the civil case, LIONS creates the Related Case record linking the civil case back to the criminal case.

**Case Notes** – Ancillary information about the case. This feature was designed for AUSAs who want to maintain a summary of the case.

Samples of the data entry screens are included. Many of the fields in the various data entry screens require codes selected from a List of Values (LOV). If an LOV code is required, a reminder will display in the lower left corner of the screen as shown in Figure 5-1. In this example, Priority is the name of the field. The LOV can be accessed from a code field by pressing **F9**.



Figure 5-1: LOV Reminder

A complete list of LIONS codes is available in Appendix A – LIONS Code List. Detailed coding procedures for the following criminal case types and situations can be found in Appendix E - LIONS Coding Policies:

### **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. Definitions**

**Immediate Declination** - 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 which 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 Attorney's 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** - A referral on which an attorney spends one hour or more investigating, 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 in LIONS 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 distinguished from other District or Magistrate Court filings.

**Case** - A case begins with the assignment of a number, other than a Miscellaneous Number, by a court 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, another case must be opened for those defendants.

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

**Information** - 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** - The formal accusation by a grand jury charging a defendant with a particular crime.

**Felony** - An offense punishable by death or imprisonment for a term exceeding one year.

**Misdemeanor** - An offense punishable by imprisonment for a term not exceeding one year, without regard to fine amount.

**Petty Offense or Citation** - 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.

## 5.2. 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.

Select **Criminal, Immediate Declination** from the LIONS Main Menu as shown in Figure 5-2.

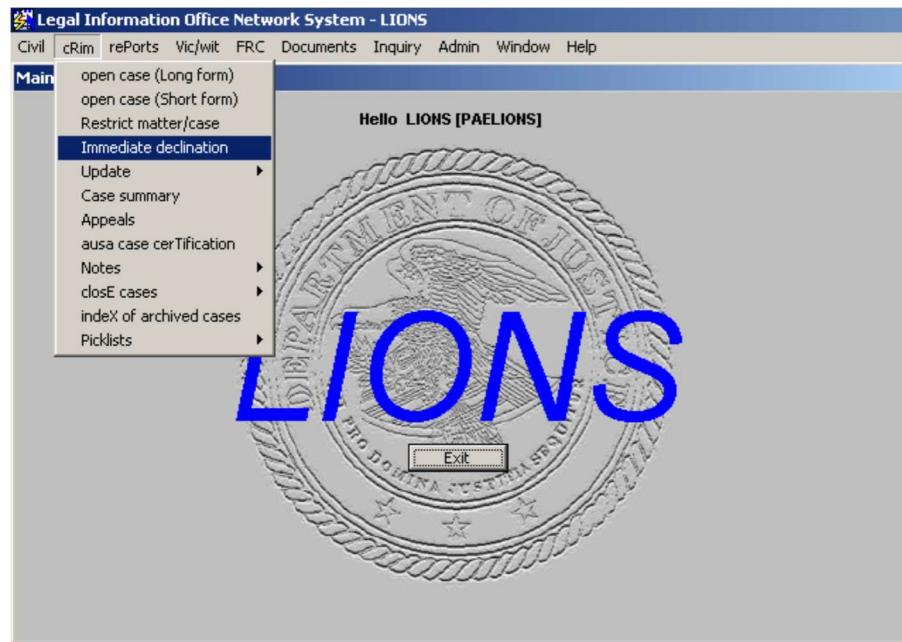


Figure 5-2: Criminal Immediate Declination

OR

Press **ALT + R** and select **Immediate Declination** from the pull-down menu or press the letter **I**. The Criminal Immediate Declination screen displays as shown in Figure 5-3.

**Figure 5-3: Criminal Immediate Declination Form**

### 5.2.1. Case

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

**Caption** - Enter a reference name for the criminal action in accordance with local office procedure.

Press **TAB** or **Enter**.

LIONS automatically generates a USAOID number and populates the **Recvd Date** with the current date and **Branch** field with the branch of the person entering data.

**Recvd Date** (Received Date) – Enter the date the referral was received in the office. LIONS defaults to the current date; however, it can be changed. The date entered **CANNOT** be later than the current date.

**Lead Charge** – Press **F9** and select the substantive statute (U.S. code, District of Columbia Code, Virgin Islands Code, Code of Federal Regulations (CFR), or State Code) that is the primary basis for the referral or, enter a code manually in the following format:

Enter a two digit Title (**08, 21, etc.**).

Leave a blank space for U.S. Code, **D** for D.C. Code, **R** for Code of Federal Regulations, **S** for state code, or **T** for Virgin Islands Code.

Enter a colon (:).

Enter a five digit section number (**00013, 02113, etc.**).

Enter the subsection [**A 1 b, etc.**].

**Prog Cat** (Program Category) – Press **F9** and select the code that best describes the type of criminal action.

**Branch** – LIONS defaults to the branch of the person entering data. If this is incorrect:

Press **F9** and select the correct **Branch** code.

Click **OK**.

### 5.2.2. Defendants

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

**Type** – Press **F9** and select the code that best describes the defendant.

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

**Role** – Press **F9** and select one of the following four codes.

- D** Defendant.
- DJ** Juvenile Defendant.
- DP** Public Official Defendant.
- DG** Gang Member Defendant.

If **Type** is **I** (Individual), the pop up shown in Figure 5-4 will display.

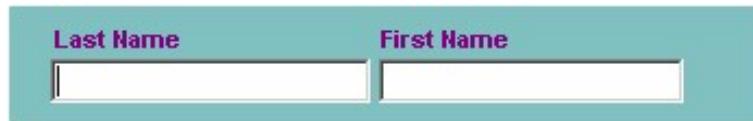


Figure 5-4: Name Pop-up

Enter Individual defendant's **Last Name** and **First Name** and press **Enter**.

If **Type** is **B** (Business/Organization) or **P** (Property), enter the name of the Business/Organization or Property in the Name field.

**Disp Reas (Disposition Reason)** – Press **F9** and select the code that best describes the reason for the Immediate Declination.

**CitStat (Citizen Status)** – Press **F9** and select the code that identifies the Participant's citizenship status.

**Cntry (Country)** – Press **F9** and select the code for the Participant's country of citizenship.

If **Program Category** is **053** (Firearms/Triggerlock) and the Defendant **Type** is **I** (Individual), the pop up shown in Figure 5-5 will display after entering the defendant's First Name.

Click in the check box(es) that apply and press **Return>>**.

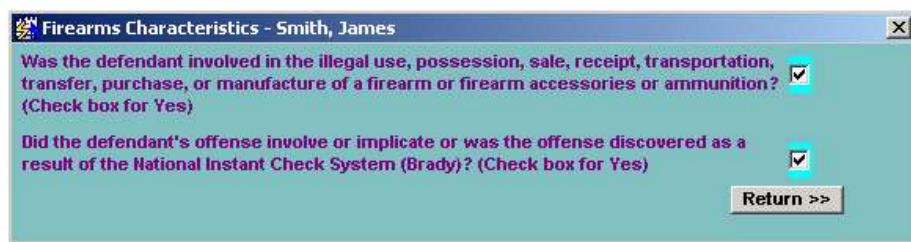


Figure 5-5: Firearms Characteristics Pop-up

If the **Program Category** is **036** (Financial Institution Fraud) and the Defendant **Type** is **I** (Individual), the pop up shown in Figure 5-6 will display after entering the Defendant's First Name.

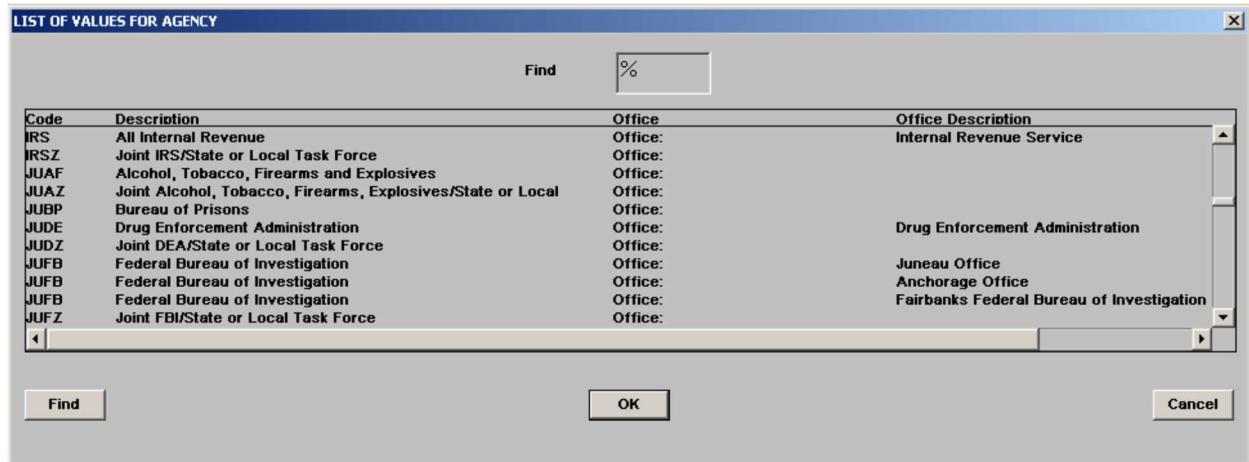
Press **F9** and select a Job Position code. The pop up disappears and LIONS returns to the Criminal Immediate Declination screen.



**Figure 5-6: Job Position Pop-up**

### 5.2.3. Investigative Agency

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

**Figure 5-7: List of Values for Agency**

**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 as shown in Figure 5-7.

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

### 5.2.4. Assignment

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

**Lead AUSA** - Press **F9** and select the name of the attorney who authorized the declination and press **OK**. The name will automatically be filled in based on the initials selected. Position will default to **L**.

**Start Date** – The date the criminal action was received. This field defaults to the current date. If this is incorrect, enter the correct date. Date entered **CANNOT** be later than the current date.

### 5.2.5. Dispositions

The following explains the values to be entered for the Disposition block:

**Date** - The date the referral was declined. This field defaults to the current date. If this is incorrect, enter the correct date. Date entered **CANNOT** be later than the current date.

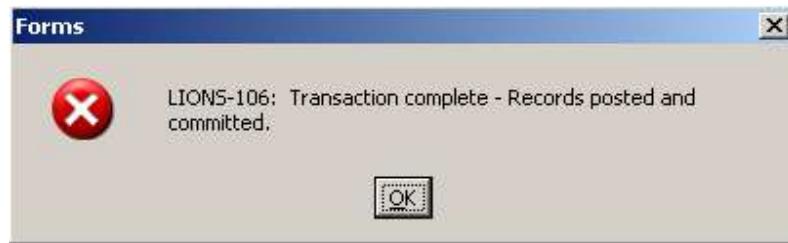
**Reason** – Press **F9** and select codes for up to three Disposition Reasons. The first Reason should be the same as the Reason Code entered in the DEFENDANTS block.

### 5.2.6. Case Comment

At local option, enter text as you would in WordPerfect. Approximately 35 lines of text can be entered. To expand the comment screen, press **ALT + E** and select **Edit** from the pull-down menu.

### 5.2.7. Exit Criminal Immediate Declination Screen

Press the **Save** icon. The pop-up shown in Figure 5-8 will display. Click **OK**.



**Figure 5-8: Transaction Confirmation Dialog Box**

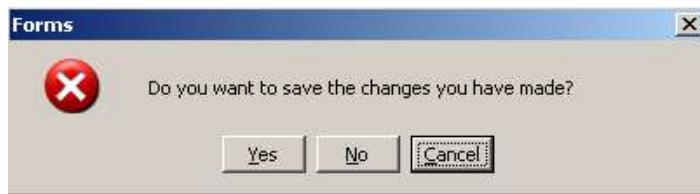
The message shown in Figure 5-9 will display.



**Figure 5-9: Print Case Query Report Dialog Box**

Press **Yes** to print the report.

Press **No** then the **Exit** icon to exit the Criminal Immediate Declination screen.  
Attempting to Exit without saving will cause the pop-up shown in Figure 5-10 to display.



**Figure 5-10: Save Changes Dialog Box**

### 5.3. When to Initiate a Criminal File

#### General Rule:

Initiate 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** initiate a criminal file when:

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

Cases are remanded to the District Court for re-sentencing.

### 5.4. How to Initiate a Criminal File in LIONS

A criminal action is initiated in LIONS using the **Criminal Short Form** or the **Criminal Long Form**.

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**

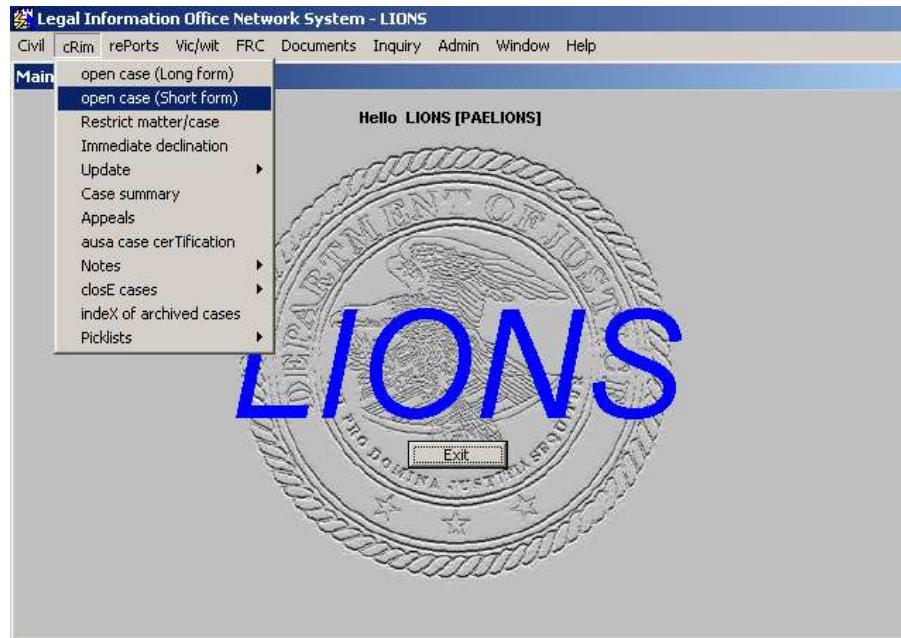
open case (Long form) or press the letter **L**

### 5.5. Criminal Short Form

It is recommended that the Criminal Short Form be used when there is a single defendant or where all defendants are related to all charges, counts and events.

Do not enter participants who are **NOT** defendants through the Criminal Short Form.

Select **Criminal, Open Case (Short Form)** from the LIONS Main Menu as shown in Figure 5-11.



**Figure 5-11: Criminal – Open Case (Short Form)**

The Criminal Open Short Form shown in Figure 5-12 opens.

**Figure 5-12: Criminal Open Short**

**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 a reference name for the criminal action in accordance with local office procedure.

As shown in Figure 5-13, the CASE block opens with default information in certain fields.

**Figure 5-13: Criminal Initiation – Short Form**

### 5.5.1. Case

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

**Recv Date** (Received Date) - The field defaults to the current date. If this is incorrect, highlight the field and enter the date the criminal action was received in the office. The date entered **CANNOT** be greater than the current date.

**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 to be used for certain types of cases being monitored by its Legal Programs Staff. These codes are used to flag cases in order to produce special reports needed by the staff. 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)

Follow these guidelines when selecting a Lead Charge:

The Lead Charge should be a substantive charge. Do not use a statutory reference to a penalty, jurisdiction, or “aiding and abetting” as the lead charge.

The Lead Charge 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.

Press **F9** and select the code that applies, or enter a code manually (all characters are required).

To manually enter a code for the Lead Charge:

- Enter a two digit Title (**08, 21, etc.**)
- Leave a blank space for U.S. Code, **D** for D.C. Code, **R** for Code of Federal Regulations, **S** for State Code, or **T** for Virgin Islands Code.
- Enter a colon (:).
- Enter a five digit section number (**00013, 02113, etc.**).
- Enter the subsection. [**A 1 b, etc.**].

**Prog Cat** (Program Category) – Press **F9** and select the code that best describes the type of criminal action. Only one Program Category can be entered when using the Short form.

**US Role** – LIONS defaults to **P** (Plaintiff). If this is incorrect, press **F9** and select the code that identifies the government's position in the case.

**Lit Resp** (Litigating Responsibility) – LIONS defaults to **US** (Case Handled Exclusively by USAO). If this is not correct, press **F9** and select the code for the office that has primary responsibility for the matter or case. If the Litigating Responsibility Code is **DJ**, **RD**, or **SD**, the appropriate DOJ Division code MUST be entered.

**Domestic Terrorism** - LIONS will automatically default to the pop-up shown in Figure 5-14.

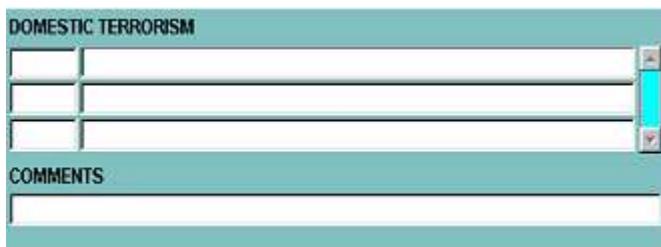


Figure 5-14: Domestic Terrorism Pop-up

Press **F9** to select from the LOV type of Domestic Terrorism. There is a section to add comments. This field is required when Program Category is 072 (Domestic Terrorism).

**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** – LIONS defaults to the branch of the person entering the information. If this is incorrect, press **F9**, select the correct code and press **OK**. The codes are established by district.

**Weight** – Press **F9** and select a code that indicates the complexity of the matter or case. This is used for assignment purposes. The codes are established by district.

**Unit** – Press **F9** and select a code to designate a group within the office responsible for the matter or case. The codes are established by district.

**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** – Press **F9** and select a code that describes the level of security for the criminal action.

**Type** – Press **F9** and select a code that further describes the nature of the criminal action.

**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. Press **F9** and select **Y** (Yes), **N** (No), or **W** (Witness). When the Victim/Witness flag is Y, then the Victim Witness Coordinator is mandatory.

When the Victim/Witness indicator is "Y" and the agency is **U.S. Postal Service (PSUS)** or **Joint Postal Service/State or Local Task Force (PSUZ)**, the agency number must be entered as **9999999-AAAA**.

When the Victim/Witness indicator is "Y" and the agency is **Federal Bureau of Investigation (JUFB)** or **Joint FBI/State or Local Task Force (JUFZ)**, the agency number must be entered as **9XXXX-XX-9999999**.

When the Victim/Witness indicator is "Y" and the agency is **Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF)** the agency file number must be entered as **99999-99-9999**.

When the Victim/Witness indicator is "Y" and the agency is **Immigration and Customs Enforcement (ICE)** [agency codes **HSCE** or **HSZZ** (**ICE joint investigation**)], the agency file number must be entered as **XX99AX99XX9999**. Regarding the agency file number format: A=Alpha; 9=Numeric; and X=Alpha/Numeric.

## 5.5.2. Court History

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

**Court** (and Court Location) – Press **F9** and select the appropriate Court code. The Court Code is required. You can also enter the location of the court. The location codes are established by your district.

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 initiating a criminal action:

**DC** District Court

**MG** Magistrate Court

**MM** Magistrate Court (Miscellaneous)

**NC** Not in Court

If the **Court** code 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 assignment block.

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

**Filing Date** - Enter the date the criminal action was filed in court. The date entered **CANNOT** be earlier than the **Recv'd Date** or later than the current date.

**Court Number** - Enter the docket number assigned to the criminal 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. Because the Victim Notification System (VNS) links with the Electronic Case Filing (ECF) system, the following court number format will be enforced when the court selected is magistrate court or district court.

- Positions 1-2 are to be numeric - 2 digits, i.e. **11**.
- Position 3 is to be a dash, i.e. **-**.
- Positions 4-5 are to be alpha character - 2 characters, i.e. **CR**
- Position 6 is to be a dash, i.e. **-**.
- Positions 7-11 are to be numeric - all 5 positions must contain a digit. If the number is less than 5 digits, add leading zeros, i.e. **01234, 00123, 00012, 00001**.
- Values in positions 12 on are not looked at by VNS and are free for your use.

**Examples:** 11-CR-01234

11-CR-01234-E

11-CR-01234-1

11-CR-01234-01

**Judge** – Press **F9** and select the Judge hearing the criminal action. The Judge's name will be filled in based on the initials entered. The codes for the field are established by your district.

**Start Date** – Enter the date the Judge was assigned to the case. LIONS defaults to the current date. If this is incorrect, highlight the field and enter the correct date. The date entered **CANNOT** be greater than the current date.

### 5.5.3. Assignment

Information in the Assignment block is used to track all staff assignments in a criminal action. At a minimum, the Lead AUSA must be entered and a Victim Witness Coordinator, if applicable. Other staff assignments, such as co-counsel, can be entered and tracked but are not required.

**Inits (Initials)** – Press **F9** and 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** – Press **F9** and 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** – Press **F9** and enter the initials for the Victim Witness Coordinator.

**Start Date** – LIONS defaults to the current date. If this is incorrect, highlight the field and enter the correct date. The date **CANNOT** be greater than the current date.

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

### 5.5.4. 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** – Press **F9** and 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. When the Victim/Witness indicator is “Y” and the agency is **U.S. Postal Service (PSUS)** or **Joint Postal Service/State or Local Task Force (PSUZ)**, the agency number must be entered as **9999999-AAAA**.

When the Victim/Witness indicator is “Y” and the agency is **Federal Bureau of Investigation (JUFB)** or **Joint FBI/State or Local Task Force (JUFZ)**, the agency number must be entered as **9XXXX-XX-9999999**.

**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.

### 5.5.5. Participant

In LIONS, a “participant” is a defendant, witness, 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 5-15: Criminal Short Form, Page 2

Enter the following information for each defendant in the matter or case. Enter and select the code that best describes the participant:

**Type** – Press **F9** and select 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 Participant **Type** is **I** (Individual), the pop-up shown in Figure 5-16 prompts for the last name and first name. If Participant **Type** is **P** (Property) or **B** (Business/Organization) enter the name in the **Name** field.



Figure 5-16: Participant Name Pop-up

If the name search feature is activated, LIONS will search the database to alert the user that another case involving the participant already exists. To enable the search feature, contact the **System Manager**.

If the **Program Category** is **053** (Firearms/Triggerlock) and **Type** is **I** (Individual), the pop up shown in Figure 5-17 displays after entering the Defendant's first name.

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

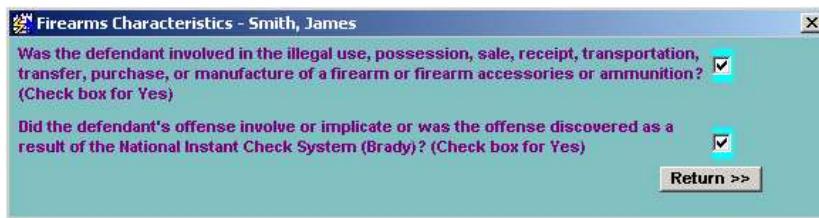


Figure 5-17: Firearms Characteristics Pop-up

If the **Program Category** is **036** (Financial Institution Fraud) and **Type** is **I** (Individual), the pop up shown in Figure 5-18 will display after entering the Defendant's First Name.

Press **F9** and select a **Job Position** code for the Defendant, if applicable. The pop up disappears, and LIONS returns to the Open Short Form.



### Figure 5-18: Job Position Pop-up

**EIN/SSN/CATS** - Enter one of the following for each Defendant:

If **Type** is **I** (Individual) enter the Social Security Number (**SSN**).

If **Type** is **B** (Business) enter the IRS Employer Identification Number (**EIN**)

If **Type** is **P** (Property) enter the Consolidated Asset Tracking System (**CATS**) number.

**Cit Stat** (Citizenship Status) – If **Type** is **I** (Individual) press **F9** and select the code for the Defendant's citizenship status.

**Cntry** (Country) – If **Type** is **I** (Individual) press **F9** and select the Defendant's country of citizenship.

**Opp Coun Initials** (Opposing Counsel Initials) – Press **F9** and select the initials of the Opposing Counsel for the Defendant.

**OppType** (Opposing Counsel Type) – Press **F9** and select the type of counsel.

**Start Date** - Enter the date the Opposing Counsel became involved in the action.

### 5.5.6. 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** – Press **F9** and select the code that describes the controlled substance under investigation.

**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 decimal places. For example, 22-1/4 = 22.25.

**Measure** – Press **F9** and select the unit of measure for the controlled substance. You **MUST** select a unit of measure if Quantity has been entered.

### 5.5.7. 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** – Press **F9** and select the applicable 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. The Filing Date is required if an Instrument Type has been entered.

**TAB, ENTER or CONTROL + PAGE DOWN** to go to the CHARGE/COUNT block.

### 5.5.8. 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.

**Charge** – Press **F9** and enter the charge including section and subsection. All characters are required.

- Enter a two digit Title (**08, 21, etc.**).

- Leave a blank space for U.S. Code, enter **D** for **D.C. Code**, **R** for **Code of Federal Regulations**, **S** for **state code**, or **T** for **Virgin Islands Code**.
- Enter a colon (:).
- Enter a five digit section number (**00013, 02113, etc.**).
- Enter the subsection. **[A 1 b, etc.]**.

**Penalty Provision** – Press **F9** and select a penalty provision code, if applicable.

**Category** – Press **F9** and select one of the following:

- **F** Felony
- **M** Misdemeanor
- **P** Petty Offense

If **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 multiple non-sequential counts:

- Enter the first count.
- **DOWN ARROW** to the next field and enter the second count. Repeat for each count in which the Charge appears.

To enter additional Charges in the Instrument:

- Press **CONTROL + PAGE UP** to go to the Charge/Count field.
- **DOWN ARROW** to a blank line or press **F6** to insert additional blank lines.
- **Charge/Count** - Press **F9** and select a code or enter the charge code ,including section and subsection. All characters are required.
- **Penalty Provision** - Press **F9** and select a code for the penalty provision, if applicable.
- **Category** - Press **F9** and select **F**- Felony, **M** – Misdemeanor or **P** - Petty Offense.
- **Count** – Enter the number of the count in which the charge appears.

**ALL Charges/Counts** are automatically attached to **ALL Participants** in the Open Short form.

### 5.5.9. 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** – Press **F9** and select the code that best describes the event.

**Action** – Press **F9** and select the code that describes the status of event.

If an **Event** is entered, an **Event Date** or **Scheduled Date** **MUST** be entered.

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

**Date Scheduled** - Enter the date an event is scheduled to occur. Scheduled Dates appear on staff members' calendar reports. Scheduled dates **MUST** be later than the current date.

**Time Scheduled** - Enter the time an event is scheduled to occur. Scheduled times appear on staff member's calendars.

**Staff Initials** - LIONS defaults to the initials of the Lead AUSA. If this is incorrect, press **F9** and select the appropriate attorney/staff initials.

**Doc Code** (Document Code) –This field was used for generating letters when VNS was a part of LIONS.

**Doc Staff Initials** (Document Staff Initials) - LIONS defaults to the initials of the person logged into LIONS. This field was used by Document Generation when the VNS functionality was a part of LIONS.

**Document Date** – Document Date defaults to the current date. This field was used by Document Generation when the VNS functionality was a part of LIONS.

**Location Scheduled** – Enter a free-form description of the location of the scheduled event.

**Judge Initials** – Press **F9** and select 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** – The event comment block is shown in Figure 5-19. Type in comments about the event and press **Enter**.



**Figure 5-19: Event Comment Block**

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.

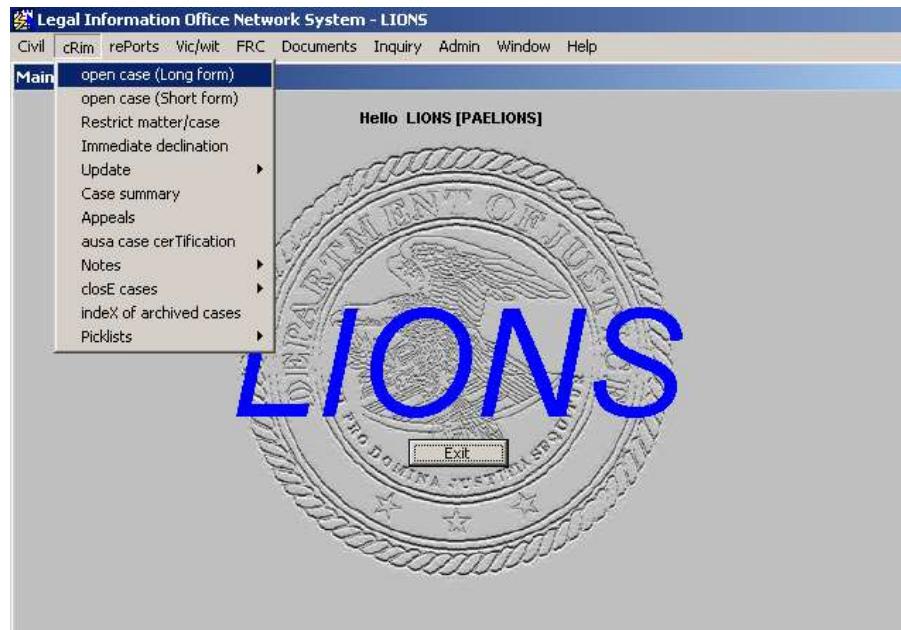
To save and continue with the Criminal Short form, **CTRL + PAGE UP** to the Caption block, press **F6** and click on Yes to save.

To exit without saving, click on the Exit icon and then click on No.

## 5.6. Criminal Long Form

The **Criminal Long Form** allows multiple program category codes, related case information, individual defendant information, aliases, and comments to be entered.

- Select **Criminal, Open Case (Long Form)** from the LIONS Main Menu as shown in Figure 5-20.



**Figure 5-20: Open Case (Long Form)**

The Criminal Open Long Form shown in Figure 5-21 will open.

 A screenshot of the 'Criminal Open Long' form window. The title bar says 'LIONS - CRIMINAL OPEN LONG - [copen:1.50]'. The menu bar includes Action, Edit, Record, Query, Window, and Help. The form is divided into several sections: 
 - **CASE**: Fields include USAOID, Caption, Recvd Date, Status, Priority, Lead Chrg., Special Project, Prog Cat, US Role, Lit Resp., Domestic Terr., DOJ Division, DOJ#, Branch, Unit, Offense Fr., Offense To, Type, Weight, Vic/Wit, Tribe, CV Potent, Related Flu Flag, Total Victims, Restrict, GJ#, Security, Reserv.
 - **COURT HISTORY**: Fields include Court, Appeal Type, Filing Date, Start Date, Disp, Judge, Court #, Disp Date, Disp.
 - **ASSIGNMENT**: Fields include Lead AUSA, Start Date, and a date field showing 'TUE, 30-OCT-2007'.
 - A bottom right corner contains navigation buttons (left, right, up, down).

**Figure 5-21: Criminal Open Long Form**

### 5.6.1. 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 a reference name for the criminal action in accordance with local office procedure and press **TAB** or **ENTER**.

As shown in Figure 5-22, the CASE block opens with default information in certain fields.

All default information in the **CASE** block can be changed.

The screenshot shows the LIONS - CRIMINAL OPEN LONG form. The CASE section is highlighted. Key fields include:  
 - USAOID: 2007R01286  
 - Caption: John Smith vs US  
 - Recvd Date: 11-DEC-2007 (Status: A Active)  
 - Lead Chrg.: [empty]  
 - Prog Cat.: [empty]  
 - Lit Resp: US (Case Handled Exclusively by U.)  
 - DOJ Division: [empty] DOJ#: [empty]  
 - Branch: 1 Eastern Pennsylv Unit: [empty]  
 - Offense Fr: [empty] Offense To: [empty]  
 - Type: [empty] Weight: [empty]  
 - Vic/Wit: [empty] Tribe: [empty]  
 - Related Flu Flag: [unchecked] Total Victims: [empty]  
 - Court: [empty] Appeal Type: [empty] Filing Date: [empty]  
 - Court #: [empty] Judge: [empty] Start Date: [empty]  
 - Disp: [empty] Disp Date: [empty]  
 - Lead AUSA: [empty] Start Date: [empty]  
 - Date at the bottom: TUE, 11-DEC-2007

Figure 5-22: Criminal Open Long Form with Default Values

All default values in the **CASE** block can be changed **EXCEPT** Status.

**Recv Date** – Enter the date the criminal action was received in the office. This field defaults to the current date. If this is incorrect, highlight the field and enter the correct date. The date entered **CANNOT** be later than the current date.

**Status** – This field **CANNOT** be changed. The Status remains **A** (Active) until the criminal action is closed. See *Chapter 6 Criminal Updates and Closings* for more information.

**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).

**Lead Charge** – Enter 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.

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

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

The Lead Charge 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.

Do not assume that the charge with the greatest potential sentence is the Lead Charge.

Use the following format for the charge:

- Enter a two digit Title (**08, 21, etc.**).
- Leave a blank space for U.S. code, enter **D** for D.C. Code, **R** for Code of Federal Regulations, **S** for state code, or **T** for Virgin Islands Code.
- Enter a colon (:).
- Enter a five digit section number (**00013, 02113, etc.**).
- Enter the subsection. [**(A) (1) (b), etc.**].

**Spec Project (Special Project)** – The Special Project Pop-up screen is shown in Figure 5-23. The EOUSA has established a series of codes to be used for certain types of cases being monitored by its Legal Programs Staff. These codes are used to flag cases in order to produce special reports needed by the team. See *Appendix A, LIONS Code List, Special Projects, Criminal* for the codes and their definitions.

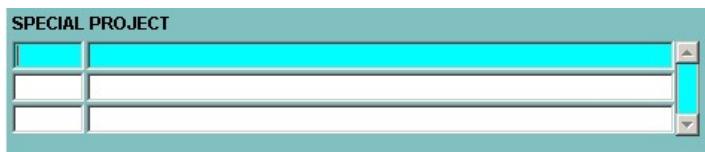


Figure 5-23: Special Project Pop-up

**Prog Cat (Program Category)** – Enter code that best describes the type of criminal action. LIONS will automatically default to the Program Category pop-up shown in Figure 5-24. Enter the most important Program Category first.



Figure 5-24: Program Category Pop-up

Press **F9** and select the Program Category code.

- If you have more than one Program Category, **DOWN ARROW** to a blank line or press **F6** to insert a blank line.
- Press **F9** and select a Program Category code for each subsequent criminal action.

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 (Non-Violent Crimes)
- **084** Assimilated Crimes
- **092** Violent Crime in Indian Country

**US Role** – LIONS defaults to **P** (Plaintiff). If this is incorrect, press **F9** and select the code that specifies the government's position in the case.

**Lit Resp** (Litigating Responsibility) - The Lit Resp field defaults to **US** (Case Handled Exclusively by USAO). If this is not correct, press **F9** and select the code for the office that has primary responsibility for the matter or case. 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 in Figure 5-25, or **No**, if none. There is also a section to add comments.

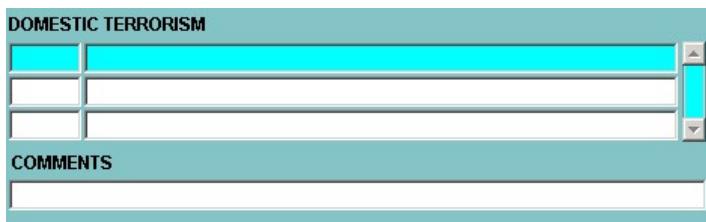


Figure 5-25: Domestic Terrorism Pop-up

**DOJ Div** - Enter a code or codes for DOJ Division. A pop-up block is provided, as shown in Figure 5-26, 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)

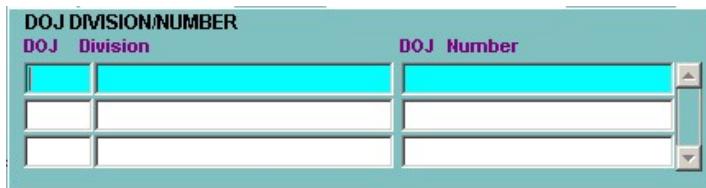


Figure 5-26: DOJ Division/Number Pop-up

**DOJ Number** - Enter the file number assigned by the DOJ Division. This field is required if a DOJ Division has been entered.

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

**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 5-27 when you leave the CASE block.



Figure 5-27: Case Restricted Message

When you click **OK**, the **Staff Group** form shown in Figure 5-28 will be displayed.

**Staff Groups** – Press **F9** and select the group to which the criminal action is restricted. Only a member of a selected group can restrict access to the case.

The screenshot shows the LIONS - CASE STAFF GROUP window. At the top, there's a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu is a toolbar with icons for New, Open, Save, Print, and Exit. The main area is titled 'CASE' and shows USAOID: 2007V00083, Caption: James Smith vs IRS, and Status: A. A section titled 'STAFF GROUP' contains a table with two columns: 'Name' and 'Description'. One row is visible, showing Name: LIONS1 and Description: LIONS Staff Group One. The bottom left corner displays the date WED, 26-SEP-2007.

**Figure 5-28: Staff Group Form**

Press the **Exit** icon to return to the Criminal Long form.

**Branch** – LIONS defaults to the Branch of the person entering information. If this is incorrect, press **F9** and select the correct code and press **OK**. The codes are established by district.

**Unit** – Press **F9** and select a code to designate a group within the office responsible for the matter or case. The codes are established by district.

**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 an end date.

**Security** – Press **F9** and select a code for the level of security assigned the case.

**Type** – Press **F9** and select a code that further describes the nature of the criminal action.

**Weight** – Press **F9** and select a code to indicate the complexity of the case for assignment purposes. The codes are established by district.

**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 the appropriate code. Otherwise, leave blank. (LOV)

**Vic/Wit** (Victim/Witness) - This field is mandatory. Press **F9** and select **Y** (Yes), **N** (No), or **W** (Witness). When the Victim/Witness flag is Y, then the Victim Witness Coordinator is mandatory.

When the Victim/Witness indicator is "Y" and the agency is **U.S. Postal Service (PSUS)** or **Joint Postal Service/State or Local Task Force (PSUZ)**, the agency number must be entered as **9999999-AAAA**.

When the Victim/Witness indicator is "Y" and the agency is **Federal Bureau of Investigation (JUFB)** or **Joint FBI/State or Local Task Force (JUFZ)**, the agency number must be entered as **9XXXX-XX-99999999**.

**Tribe** – Press **F9** and select a Native American tribe, if applicable. This field should be completed when the United States has jurisdiction over a criminal offense which occurred on a Native American reservation.

**Reserv** (Reservation) – Press **F9** and select a code for the Native American reservation or military installation associated with the matter or case. The codes are established by district.

**Related FLU Flag** – Click in the check box to indicate that there is a related FLU case. Leave unchecked if there is not a related FLU case.

**Total Victims** – Enter the total number of victims for the case.

### 5.6.2. Court History

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

**Court** (and Court Location) – Press **F9** and 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).

Use **MG** (Magistrate Court) if the defendant is to be tried before a **Magistrate Judge REGARDLESS** of the type of number assigned by the Clerk.

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.

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

**Filing Date** - Enter the date the criminal action was filed in court. The date entered **CANNOT** be earlier than the **Recv Date** or later than the current date.

**Court Number** - Enter the docket number assigned to the criminal 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. Because the Victim Notification System (VNS) links with the Electronic Case Filing (ECF) system, the following court number format will be enforced when the court selected is magistrate court or district court.

- Positions 1-2 are to be numeric - 2 digits, i.e. **11**.
- Position 3 is to be a dash, i.e. **-**.
- Positions 4-5 are to be alpha character - 2 characters, i.e. **CR**
- Position 6 is to be a dash, i.e. **-**.
- Positions 7-11 are to be numeric - all 5 positions must contain a digit. If the number is less than 5 digits, add leading zeros. i.e. **01234, 00123, 00012, 00001**.
- Values in positions 12 on are not looked at by VNS and are free for your use.

**Examples:** 11-CR-01234

11-CR-01234-E

11-CR-01234-1

11-CR-01234-01

**Judge** – Press **F9** and select 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 the 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.

### 5.6.3. 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.

COURT/STAFF ASSIGNMENT					
Inits	Last Name	First Name	Position	Start Date	End Date
ABP			L	04-AUG-2006	

Figure 5-29: Court/Staff Assignment Block

**Inits (Initials)** – Press **F9** and 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** – Press **F9** and 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** – Press **F9** and 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)

Failure to assign a Victim/Witness Coordinator will cause the message shown in Figure 5-30 to display:



Figure 5-30: Victim/Witness Coordinator Error Message

Click **OK** and select a Victim/Witness Coordinator.

**Start Date** - LIONS defaults to the current date. If this is incorrect, enter the date the staff member was assigned.

**End Date** – Enter the date the staff member's involvement with the matter/case ended. This field should be blank when opening a new matter or case.

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.

#### 5.6.4. Agency

You can enter Agency information for one or more agencies; e.g., investigative, "victim," etc. LIONS will default the Role of the first agency to **IN** (investigative) as shown in Figure 5-31. Every criminal matter or case MUST have at least one investigative agency.

AGENCY			Agency Number
Ro	Agency Code and Description		
IN	AGCC	Farm Service Agency/Commodity Credit Corporation	

Figure 5-31: 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, shown in Figure 5-32, that will allow you to capture the Estimated \$ Loss or the Actual \$ Loss to the Victim Agency.

Est Loss	Actual Loss
1,000,000.00	

Figure 5-32: Victim Agency Pop-up

**AGENCY OFFICE** is a **READ ONLY** block populated from the Agency picklist entries established by the district. See *Chapter 6, Criminal Updates and Closings Section 6.21.1, Agency Office* for instructions on adding or updating the Agency picklist.

If you have another agency to enter, press **CTRL + PAGE UP** to return to the AGENCY block. Press **F6** to insert or the DOWN ARROW to go to a blank line. If you arrow down to a blank line and then change your mind, press **SHIFT + F6** to return to the previous line.

If an agency has more than one office, select the appropriate office location. Agency Office is a Local Code assigned by the Districts. See *Chapter 6, Criminal Updates and Closings* for instructions on adding or updating Agency Office information.

**Agency Number** - Enter the number assigned to the criminal action by the Agency.

When the **Victim/Witness** indicator is "Y" and the agency is **U.S. Postal Service (PSUS)** or **Joint Postal Service/State or Local Task Force (PSUZ)**, the agency number must be entered as **9999999-AAAA**.

When the **Victim/Witness** indicator is "Y" and the agency is **Federal Bureau of Investigation (JUFB)** or **Joint FBI/State or Local Task Force (JUFZ)**, the agency number must be entered as **9XXXX-XX-99999999**.

**TAB, ENTER or CONTROL + PAGE DOWN** to the **AGENT** block.

### 5.6.5. Agent

The **AGENT** block, shown in Figure 5-33, is a stacked block. The counter in the upper right of the block indicates the number of Agents from a particular Agency that are in the stack and the relative position of each. Use the up and down arrows to move through the record stack.

Ro	Agency	Code and Description	Agency Number
IN	AGSC	Natural Resources and Conservation Service	12345
VA	INNP	National Park Service	123123

**AGENT**

Agent:	Agent	Salutation	Last Name	First Name	1	OF	1
Title:	Special Agent			Lead Agent:	Y	Yes	
Phone:		FAX:		Pager:			
Email:							

**AGENCY OFFICE (READ ONLY)**

Office:			
Address:			
City:	State:	Zip:	

Figure 5-33: Agent

Highlight an Agency in the **AGENCY** block for which Agent information is to be entered. Enter as much information for each Agent from the selected Agency as is known:

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

**Name** - Enter the agent's Last Name, First Name.

**Title** – LIONS automatically defaults to **Special Agent**.

**Lead Agent** – Press **F9** and select **Y** (Yes) if the Agent is Lead Agent. Select **N** (No) if the Agent is not Lead Agent. This information can be used for document generation.

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

To enter multiple Agents from a single Agency:

In the Agent block, **DOWN ARROW** to go to a blank form or press **F6** to insert a blank form.

Enter as much information as is known for the Agent.

As shown in Figure 5-34, each Agent entered will increase the counter for that Agency by one.

The screenshot shows the LIONS - CRIMINAL OPEN LONG window. At the top, the USAOID is 2007R01287 and the Caption is "John Smith vs US". The AGENCY section contains two entries: IN AGSC Natural Resources and Conservation Service (Agency Number 12345) and VA INNP National Park Service (Agency Number 123123). The AGENT section displays information for one agent: Agent Ms Jones, Title Special Agent, Lead Agent N No, Phone, FAX, Email, First Name Jane, and Last Name Jones. Below these sections is the AGENCY OFFICE (READ ONLY) block, which includes fields for Office, Address, City, State, and Zip. The bottom of the screen shows the date TUE, 11-DEC-2007.

**Figure 5-34: Multiple Agent Records for a Single Agency**

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

### 5.6.6. Participant

In LIONS, a “participant” is a defendant, witness, piece of property to be forfeited, or any other individual, organization, or business associated with the case. The **PARTICIPANT** block is shown in Figure 5-35.

The screenshot shows the LIONS - PARTICIPANT INFORMATION window. At the top, the CASE USAOID is blank, the Caption is blank, and the Status is blank. The PARTICIPANT section features a grid for entering participant information. The columns include T, Ro, Def, CI, Co, Name, LOWER COURT (Di Reas Disp Date), APPEAL COURT (Di Reas Disp Date), and DISPOSITION (READ ONLY). The bottom of the screen shows the date FRI, 17-APR-2009.

**Figure 5-35: Participant**

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** – Press **F9** and select 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

**Def (Defendant Number)** – Use this field to order Defendants as they were named in the charging Instrument. Entering a number in this field will **NOT** change the order in which the Defendants were entered in the Participant block.

This field can only be populated when **Role** is **D** (Defendant) or **P** (Plaintiff).

**Name** - If Participant **Type** is **I** (Individual), the pop-up shown in Figure 5-36 prompts for the Participant's last name and first name.

Last Name	First Name
<input type="text"/>	<input type="text"/>

**Figure 5-36: Name Pop-up block**

Enter a first and last name.

If participant Type is **B** (Business/Organization) or **P** (Property) enter the business or property name in the field as shown in Figure 5-37.

T	Ro	Def	Cl	Co	DISPOSITION (READ ONLY)					
					LOWER COURT		APPEAL COURT			
Di	Reas	Disp	Date	Di	Reas	Disp	Date			
P	D	CW	03-APR-2006							
<input type="button" value="Exit"/>										

**Figure 5-37: Participant Name**

If the name search feature is activated, LIONS will search the database to alert the user that another case involving the participant already exists. To enable the search feature, contact the System Manager.

**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 Participant **Type** determines the screens used to capture more detailed information about the Participant.

If **Type** is **I** (Individual), see Section 5.6.6.1.

If **Type** is **B** (Business), see Section 5.6.6.9.

If **Type** is **P** (Property), see Section 5.6.6.16.

#### 5.6.6.1. 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.

Figure 5-38: Individual Participant

**Last Name, First Name, and Role** –Last Name, First Name and Role are carried over from the Participant block.

**Salutation** – Enter the salutation used when corresponding with the Participant.

**Title** - Enter the participant's official title, if applicable (Attorney-at-Law, Professor of Criminology, etc.)

**Job Pos** (Job Position) – Press **F9** and select a code that defines the Participant's job or position in a business or organization if it is relevant to the case. This field is required if **Program Category** is **036** Financial Institution Fraud.

**Arrest Date** - Enter date of Participant's arrest, if applicable.

**Gender** – Press **F9** and select a code for Participant's gender.

**Weight** – Press **F9** and select a code that indicates the complexity of the case for assignment purposes. Weight is a Local Code assigned by the Districts.

**SSN#** (Social Security Number) - Enter the Participant's social security number.

**DOB** (Date of Birth) - Enter the Participant's date of birth.

**Juvenile** – Press **F9** and select **Y** (Yes) or **N** (No) to identify Participant as a juvenile. 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) – Press **F9** and select **Y** (Yes) if the Participant has a criminal history. Enter **N** (No) if there is no known criminal history.

**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 #** - Enter the number assigned to the case by the U. S. Marshals.

**Marshal #** is **MANDATORY** for any Defendant sentenced in a case where **Vic/Wit** is **Y** (Yes).

**Tribe** – Press **F9** and select the code for the Native American tribe of which the Participant is a member, if applicable.

**Reserv** (Reservation) - Enter Native American reservation or military installation where the offense occurred, if applicable.

**Cit Status** (Citizenship Status) – This field should already have default values from the previous page.

**Country** – This field should already have default values from the previous page.

**U** (Unknown) should **ONLY** be used until the Participant's Country of Citizenship is known.

**Est Loss** (Estimated Loss) – Enter the estimated monetary loss to the United States, if applicable. Data in this field is used to track estimated losses to the U. S.

**Act Loss** (Actual Loss) - Enter the actual monetary loss to the United States, if applicable. Data in this field is used to track actual losses to the U. S.

**Office and Home Address, Phone and Fax Numbers** – Enter as much information in these fields as is known. 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.

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.

### 5.6.6.2. Defendant Status

The Defendant Status block shown in Figure 5-39 is used to capture multiple status records for a Defendant as the matter or case progresses. If **Role** is not a Defendant code, LIONS will bypass this block and display the **ALIAS** block.

**Figure 5-39: Defendant Status**

**Status** – Press **F9** and select the code that designates the status of the defendant.

If **Defendant** is a juvenile being prosecuted as an adult, Defendant Status **MUST** be **JT** (Juvenile Transferred to Adult Status).

If **Defendant** is a fugitive, Defendant Status **MUST** be **FU** (Fugitive).

**Start Date** - Enter the date the Defendant status began. This field is required if a status has been entered.

**Deten Reason** (Detention Reason) – Press **F9** and select a code that explains why the Defendant has been detained, if applicable.

**Custody Loc** (Custody Location) – Press **F9** and select the code for the location where the Defendant is being held. These codes are established by the district.

**Bond Type** – Press **F9** and select a code that describes the type of bond. This field is required if a Defendant Status is **BO** (Bond)

**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 of the Defendant changed.

**Term Reason** (Termination Reason) – Press **F9** and select a code that explains the reason for the Defendant Status change. This field is required if an **End Date** has been entered.

When you have completed entering the Health Care Fraud information, press **CTRL + PAGE DOWN** or click to go to the **Firearms Characteristics** block.

### 5.6.6.3. Firearms Characteristics

Answer the follow questions to the Firearms Characteristics section:

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)?

- Press **F9** and select **Y** (Yes) or **N** (No) for each of the questions in the Firearms Characteristics block shown in Figure 5-40.

**Figure 5-40: Firearms Characteristics Block**

#### 5.6.6.4. Health Care Fraud Cases (Only)

If Program Category is **03G** (Health Care Fraud), the **HEALTH CARE FRAUD CASES (ONLY)** block shown in Figure 5-41 displays.

**Figure 5-41: Health Care Fraud Cases (Only)**

**NPI** (National Provider Identification) – Enter the National Provider Identification code.

**Occupation** – Press **F9** and select the code that identifies the Occupation/Field of Licensure.

**Other Occup Desc** – Enter other Occupations/Fields of Licensure if applicable.

**Employer** – Enter the name of Individual Participant's employer.

**Employer Type** – Press **F9** and select a code which describes the type of employer.

**Other Employ Desc** – Enter other employer type description.

**Employer Address** – Enter the employer's address.

**Employer Phone** – Enter the employer's phone number.

**Employer Fax** – Enter the employer's Fax number.

When you have completed entering the Health Care Fraud information, press **CTRL + PAGE DOWN** or click to go to the **ALIAS** block.

#### 5.6.6.5. Alias

The Alias block shown in Figure 5-42 is used to enter all known aliases for an Individual Participant.

**Alias Last Name/First Name** - Enter all known aliases for the participant, if applicable.

ALIAS	
Last Name	First Name

MON, 05-NOV-2007      Skip     

**Figure 5-42: Alias**

When you have completed entering the Alias information, press **CTRL + PAGE DOWN** or click to go to the **RELATED PARTICIPANT** block.

#### 5.6.6.6. Related Participant

If there are multiple Participant's in a criminal action, relationships can be established to relate one Participant and another in the same case using the Related Participant block shown in Figure 5-43.

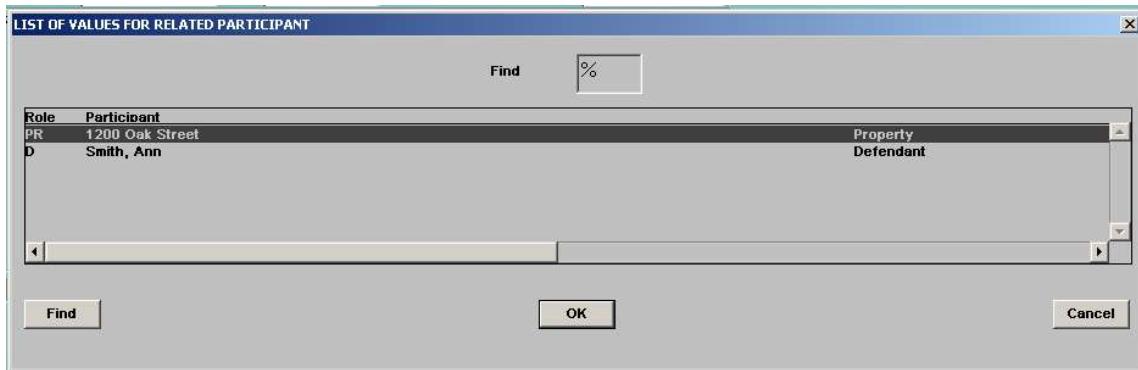
RELATED PARTICIPANT		
Name	Role	Reason

MON, 05-NOV-2007      Skip     

**Figure 5-43: Related Participant**

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

**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, as shown in Figure 5-44. (LOV)



**Figure 5-44: Related Participant LOV**

**Role** – LIONS pre-populates this field based upon the information entered in the Participant block.

**Reason** – Press **F9** and select a code that explains why one participant in a case is related to another participant in the same case. This is required if a Participant has been selected from the LOV.

When you have finished relating participants, press **CTRL + PAGE DOWN** click to go to the **OPPOSING COUNSEL** block.

#### 5.6.6.7. Opposing Counsel

The Opposing Counsel block is shown in Figure 5-45. The following explains the values to be entered for the Opposing Counsel screen:

Inits	Name	Type	Start Date	End Date

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Skip

**Figure 5-45: Opposing Counsel Block**

**Inits (Initials)** – Press **F9** and select 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. When you exit the Picklist screen, LIONS will return to the Opposing Counsel Screen. See **Chapter 6, Criminal Updates and Closings** for instructions on adding entries to the LOV:

**Name** - The name will be filled in based on the initials entered.

**Type** – Press **F9** and 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 to go to the **PARTICIPANT COMMENTS** block.

#### 5.6.6.8. Participant Comments

The following explains the values to be entered for the Participant Comments screen, as shown in Figure 5-45:

PARTICIPANT COMMENTS

Go back to Participant screen [  ]

Figure 5-46: Participant Comments

**Participant Comments** - This field is available to supplement the information about the participant.

Enter text as you would in Word. 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 to go to the next screen. If this is the last participant, go to **Section 5.6.7** for instructions on Controlled Substance.

#### 5.6.6.9. Business Participant

The **BUSINESS** screen shown in Figure 5-47 is used to capture more detailed information about a Business/Organization Participant, e.g., type of business, EIN number, business contact, and the business address. All fields on this screen are optional.

USAOID: 2007R01211      Caption: John Smith vs HUD

**BUSINESS**

Name: ABC Co.  
Role: D      Type:       EIN:   
Contact Name:   
Est Loss:       Act Loss:   
Address:   
  
  
City:       State:       Zip:   
County:   
Phone:       FAX:   
**HEALTH CARE FRAUD CASES (ONLY)**  
Health Care Type:       Other Health Care:   
TUE, 06-NOV-2007      Skip

Figure 5-47: Business Screen

**Name/Role** - This information is carried over from the Participant block.

**Type** – Press **F9** and select the code that describes the type of business. These codes are established by district.

**EIN** - Enter the Employer Identification Number of the business or organization.

**Contact Name** - Enter the name of the individual who serves as point of 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 the actual monetary loss to the Government.

**Address, Phone, and Fax Information** - Enter the address and telephone numbers for the business or organization.

#### 5.6.6.10. Health Care Fraud Cases (only)

If the criminal case or matter involves **Health Care Fraud**:

**Health Care Type** – Press **F9** and select a code for the business Type.

**Other Health Care** - Text entry allowed only when the code of Health Care Type is “999”, Other Type Not Classified.

When you have completed entering the Health Care Fraud Cases (only) information, press **CTRL + PAGE DOWN** or click to go to the **Firearms Characteristics** block.

#### 5.6.6.11. Firearms Characteristics

- Press **F9** and select **Y** (Yes) or **N** (No) for each of the questions in the Firearms Characteristics block shown in Figure 5-48.

**FIREARMS CHARACTERISTICS**

Was the defendant involved in the illegal use, possession, sale, receipt, transportation, transfer, purchase, or manufacture of a firearm or firearm accessories or ammunition? (Y/N):

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

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Figure 5-48: Firearms Characteristics Block

#### 5.6.6.12. Doing Business as (DBA)

Multiple names under which the business or organization operates can be entered in the Doing Business as (DBA) block shown in Figure 5-49.

', and ''. A vertical scroll bar is visible on the right side of the list."/>

**DOING BUSINESS AS**

A Big Company

TUE, 06-NOV-2007      Skip     

Figure 5-49: Doing Business as Block

**Doing Business As (DBA)** - You can enter another name for the business, if applicable. More than one DBA can be entered.

When you have finished entering the DBA information, press **CTRL + PAGE DOWN** or click to go to the **RELATED PARTICIPANT** block shown in Figure 5-50.

#### **5.6.6.13. Related Participant**

If there are multiple Participants, relationships can be established to relate one Participant and another in the same case using the Related Participant block shown in Figure 5-50. The following explains the values to be entered for the Participant screen:

<b>RELATED PARTICIPANT</b>		
<b>Name</b>	<b>Role</b>	<b>Reason</b>

**Figure 5-50: 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** – LIONS pre-populates the **Role** field from information entered in the Participant screen.

**Reason** – Press **F9** and 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 to go to the **OPPOSING COUNSEL** block shown in Figure 5-51.

#### **5.6.6.14. Business Opposing Counsel**

The following explains the values to be entered for the Opposing Counsel block:

<b>OPPOSING COUNSEL</b>					
<b>Inits</b>	<b>Name</b>	<b>Type</b>	<b>Start Date</b>	<b>End Date</b>	

**Figure 5-51: Business Opposing Counsel Block**

**Inits** (Initials) – Press **F9** and select the initials of the opposing counsel. The codes (initials) are established by the district.

**Name** - The name will be filled in based on the initials entered.

**Type** – Press **F9** and select the code that describes the type of counsel.

**Start Date** - Enter the date the opposing counsel became involved in the case.

**End Date** - This field is not used when opening a criminal action. Use this field to record the date the opposing counsel's involvement in the case ended.

When you have finished entering the Opposing Counsel information, press **CTRL + PAGE DOWN** or click to go to the **PARTICIPANT COMMENTS** block shown in Figure 5-52.

### 5.6.6.15. Participant Comments

This field is available to enter supplemental information about the participant.

**Figure 5-52: Participant Comments**

**Participant Comments** - This field is available to supplement the information about the participant.

Enter text as you would in Word. 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 5.6.7** for instructions on Controlled Substances.

### 5.6.6.16. Property Participant

More detailed information about a Property Participant can be entered in the **PROPERTY** screen shown in Figure 5-53. All fields in this screen are optional.

**Figure 5-53: Property Participant**

**Name/Role** - This information is carried over from the Participant block.

**Type** – Press **F9** and select the code that describes the 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. 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 address and phone numbers, if applicable. When you have finished entering the Property Participant information, press **CTRL + PAGE DOWN** or click to go to the **PROPERTY VALUE** block shown in Figure 5-54.

#### 5.6.6.17. Property Value

The Property Value block can be used to maintain a history of a property's valuation over the life of the matter/case.

Type	Value	Prop Date

**Figure 5-54: Property Value**

**Type** – Press **F9** and enter the code that identifies the source of 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 to go to the **RELATED PARTICIPANT**.

#### 5.6.6.18. Related Participant

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 as shown in Figure 5-55.

Name	Role	Reason
ABC Co.	D	Defendant
Johnson, Sue	D	Defendant

**Figure 5-55: Related Participant**

**Name** – Press **F9** and select the Participant you wish to relate to the Property Participant.

**Role** – LIONS pre-populates the **Role** field from information entered in the Participant screen.

**Reason** – Press **F9** and 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)

### 5.6.6.19. Participant Comments

The Participant Comment block, shown in Figure 5-56, can be used to supplement information about the Property participant.

**Figure 5-56: Participant Comments**

**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 to go to the next screen.

### 5.6.7. Controlled Substance

The following explains the values to be entered for the Controlled Substance screen, shown in Figure 5-57.

**Figure 5-57: Controlled Substance**

**Type** – Press **F9** and select the code that describes the type of controlled substance under investigation.

**Other** - If the **Type** is **O** (Other), a brief description of the controlled substance is required.

If Type is **O** (Other) **Quantity** and **Measure** are **NOT** required but can be entered, 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 for the unit of measure of the controlled substance. Measure is required if Quantity has been entered.

**Controlled Substance Comments** – Enter text as you would in Word. 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 Court is **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 to the **EVENT** block.

## 5.6.8. Instrument

Enter the following information for each charge listed in the charging instrument as shown in Figure 5-58. 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.

The screenshot shows the LIONS - CRIMINAL OPEN LONG application window. At the top, the USAOID is 2007R01212 and the Caption is "John Smith vs HUD". The LEAD CHARGE section contains a Lead Charge of "03D:01210.01" and a Description of "Practicing without License". The COURT HISTORY section shows "DC" as Court Location and "District Court" as the specific court, with a Court Number of "4654264982". The INSTRUMENT section includes fields for Type ("IN Indictment") and Filing Date ("06-NOV-2007"). Below these, the CHARGE/COUNT section is a table with columns: Charge, Description, Penalty Provision, Category, and Count. The table has 6 rows, with the first row being highlighted in blue. The bottom of the screen displays the date "TUE, 06-NOV-2007" and navigation buttons.

**Figure 5-58: Lead Charge, Instrument and Charge/Count**

**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** - The filing date will default to the Court Filing Date. The Filing Date is required if an Instrument Type has been entered.

When you have finished entering the Instrument information, press **CTRL + PAGE DOWN** or click to go to the **CHARGE/COUNT** block.

## 5.6.9. Charge/Count

The following explains the values to be entered for the Charge/Count screen as shown in Figure 5-59:

The screenshot shows the LIONS - CRIMINAL OPEN LONG application interface. At the top, the title bar reads "LIONS - CRIMINAL OPEN LONG - [copen:1.48]". The menu bar includes Action, Edit, Record, Query, Window, and Help. The main window displays the following information:

- USAID:** 2006R00940    **Caption:** Jane Doe vs US
- LEAD CHARGE:** Lead Charge  
03T:01102    Prohibited Acts
- COURT HISTORY:** Court Location: MG (Magistrate Court), Court Number: MAG123
- INSTRUMENT:** Type: Citation, Filing Date: 04-AUG-2006
- CHARGE/COUNT:** A grid table with columns: Charge, Description, Penalty Provision, Category, and Count. The first row shows 03T:01102, Prohibited Acts, M, and Count 1.
- At the bottom, the date FRI, 04-AUG-2006 is shown, along with navigation buttons <S><U><D><D>.

Figure 5-59: Lead Charge, Instrument and Charge/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)

You can enter a U.S. Code Title and Section, District of Columbia Code, Code of Federal Regulations, State Code, or Virgin Islands Code. (LOV)

- Enter a two digit Title (**08, 21, etc.**).
- Leave a blank space for U.S. Code; enter an **R** for Code of Federal Regulations; enter an **S** for State Code; enter a **D** for D.C. Code; or, enter a **T** for a Virgin Islands Code.
- Enter a colon (:).
- Enter a five digit section; e.g., **00013, 02113**.
- Enter subsections; e.g., **(A)(1)(A)** (parentheses may be included).

**Description** – This field will be filled in automatically based upon the **Charge** selected from the LOV.

**Penalty Provision** – Press **F9** and select the code for penalty provision, if applicable.

**Category** – Press **F9** and select (or enter manually) one of the following:

- 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.

- Enter the next count. Repeat until all counts for the charge have been entered (see Figure 5-60).

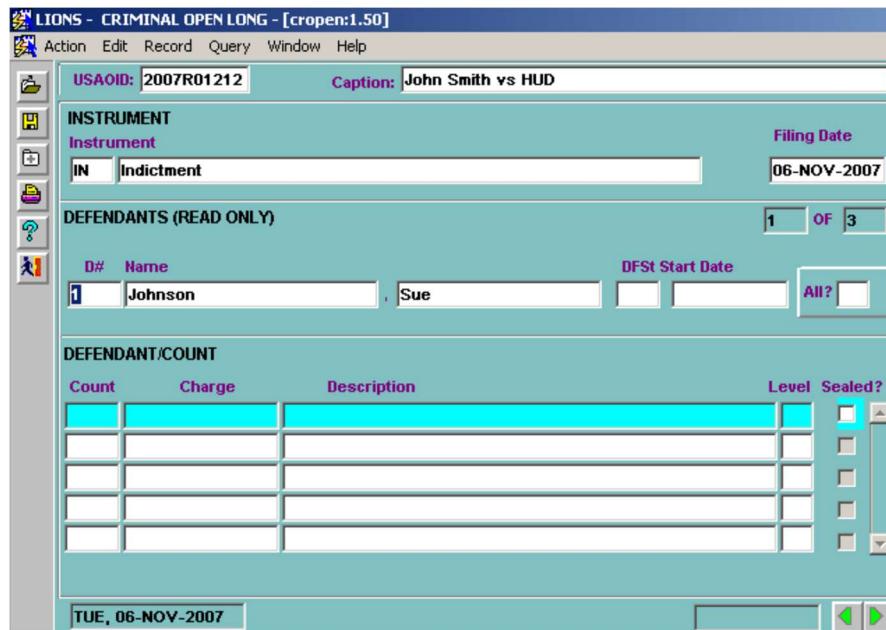
The screenshot shows the LIONS - CRIMINAL OPEN LONG application window. At the top, the title bar reads "LIONS - CRIMINAL OPEN LONG - [copen:1.50]". The menu bar includes Action, Edit, Record, Query, Window, and Help. The main area contains several sections: "LEAD CHARGE" with "Lead Charge" set to "03D:01210.01" and "Practicing without License"; "COURT HISTORY" with "Court Location" set to "DC" and "District Court", and "Court Number" "4654264982"; "INSTRUMENT" with "Type" set to "IN" and "Indictment", and "Filing Date" "06-NOV-2007"; and a "CHARGE/COUNT" table. The table has columns: Charge, Description, Penalty Provision, Category, and Count. The first row shows "02 :04411" as the Charge, "Contributions in name of another prof" as the Description, "F" as the Penalty Provision, and "Category" as the Category. The "Count" column shows values 1, 4, and 6-8. A scroll bar indicates more rows below. The bottom left of the screen displays the date "TUE, 06-NOV-2007".

Figure 5-60: Entering Multiple Counts for a Single Charge

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** or click  to go to the **DEFENDANT/COUNT** block.

#### 5.6.9.1. Defendant/Count

The Defendant/Count block shown in Figure 5-61 is used to attach Defendants to the appropriate 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?

Figure 5-61: Defendant/Count

The Instrument and Filing Date entered previously will be displayed in the Instrument block.

#### 5.6.10. Defendants (Read Only)

This is a stacked block. The counter in the upper right corner of the block indicates the number of defendants in the stack and the relative position of the defendant currently displayed. Only Defendant participants are included in the stack.

Use the **UP** and **DOWN ARROWS** to move through the stack.

**D#** (Defendant) – LIONS defaults to the number indicating the order in which defendants were originally entered in LIONS. If the order in which Defendants are listed in the charging instrument is different, enter the defendant number.

**Name, DFST** (Defendant Status), and **Start Date** fields are **READ ONLY**.

**All?** - Enter a **Y** (Yes) to attach all counts in the charging instrument to the defendant, or enter **N** (No) if the defendant is not attached to all counts.

#### 5.6.11. Defendant/Count

Each count in the charging instrument must be attached to at least one of the defendants.

In the **DEFENDANT** block select the appropriate Defendant. Use the **UP** and **DOWN ARROW** keys to move through the record stack.

**Count** - Press **F9** and select a count that is applicable to the defendant and press **OK**. Repeat until all counts applicable to the defendant have been selected

OR

Enter the number of the first count applicable to the Defendant.

**ARROW DOWN** to the next line and enter the number for the next count. Repeat until all counts for the defendant have been entered.

**Sealed?** – Click in the checkbox to seal an individual count for a defendant.

If at least one count against a Defendant in the criminal action is sealed, LIONS automatically seals the criminal action 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).

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** or click to go to the **COURT HISTORY** and **EVENT** blocks.

### 5.6.12. Event

LIONS pre-populates the **Court History** block using information previously entered, as shown in Figure 5-62. 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.

The screenshot shows the LIONS software interface. At the top, the title bar reads "LIONS - CRIMINAL OPEN LONG - [copen:1.50]" with standard menu options: Action, Edit, Record, Query, Window, Help. Below the title bar, the USAOID is listed as "2007R01212" and the Caption is "John Smith vs HUD". The main area is titled "COURT HISTORY". Within this, there's a sub-section titled "EVENT". The "EVENT" section contains a table with columns: Rel, Event, Action, Event Date, Date Scheduled, Time Scheduled, Staff, and INIT. The "Rel" column has a dropdown arrow icon. The "Event" column contains a list of event codes. The "Action" column has a dropdown arrow icon. The "Event Date" column shows dates like "TUE, 06-NOV-2007". The "Date Scheduled" column shows times like "10:00 AM". The "Time Scheduled" column shows times like "10:00 AM". The "Staff" and "INIT" columns are empty. Below the table is a section titled "EVENT COMMENTS" with a large text input field. At the bottom of the screen, there are several status indicators and control buttons.

Figure 5-62: Event Screen

**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.

**Event** – Press **F9** and select the code that best describes the event.

**Action** – Press **F9** and select the code that describes the status of event.

If an **Event** is entered, an **Event Date** or **Scheduled Date** **MUST** be entered.

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

**Date Scheduled** - Enter the date an event is scheduled to occur. Scheduled Dates appear on staff members' calendar reports. Scheduled dates **MUST** be later than the current date.

**Time Scheduled** - Enter the time an event is scheduled to occur. Scheduled times appear on staff member's calendars.

**Staff Initials** - LIONS defaults to the initials of the Lead AUSA. If this is incorrect, press **F9** and select the appropriate attorney/staff initials.

**Doc Code** (Document Code) –This field was used for generating letters when VNS was a part of LIONS.

**Doc Staff Initials** (Document Staff Initials) - LIONS defaults to the initials of the person logged into LIONS. This field was used by Document Generation when the VNS functionality was a part of LIONS.

**Document Date** – Document Date defaults to the current date. This field was used by Document Generation when the VNS functionality was a part of LIONS.

**Location Scheduled** – Enter a free-form description of the location of the scheduled event.

**Judge Initials** – Press **F9** and select 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** – The event comment block is shown in Figure 5-19. Type in comments about the event and press **Enter**.

The Event Comment should not repeat the definition of the Event Code.

If **Rel** (Related) is **Y (Yes)**, upon selecting **Judge INIT**, the **PARTICIPANT EVENT** block shown in Figure 5-63 displays to confirm that all participants attached to the current Court History stage have been attached to the Event.

The screenshot shows the LIONS software interface for a 'CRIMINAL OPEN LONG' case. The main window title is 'LIONS - CRIMINAL OPEN LONG - [copen:1.50]'. The menu bar includes Action, Edit, Record, Query, Window, and Help. The USAOID is listed as 2007R01214 and the Caption is 'John Smith vs HUD'. The 'COURT HISTORY' section shows a Court selection of 'CC' (Court of Federal Claims) and a Court # of 457812. Below this is the 'EVENT' section, which contains a table with columns: Event, Staff Last Name, Doc Code, DocStaff INIT, Doc Date, Location Scheduled, Judge INIT, and Judge Last Name. Two rows are visible: one for 'ARST' with 'Brown' in the Staff Last Name column, and another for 'JTRI' with 'Brown' in the Staff Last Name column, 'CG' in the Judge INIT column, and 'GREEN' in the Judge Last Name column. At the bottom is the 'PARTICIPANT EVENT' section, which lists participants with columns: Name, Role, Disp, and Reason. Participants listed are 'Johnson, Sue' and 'ABC Inc'. The status bar at the bottom shows the date 'WED, 07-NOV-2007'.

Figure 5-63: Participant Event

If Rel (Related) is N (No), upon selecting Judge INIT the **RELATE PARTICIPANTS TO AN EVENT** screen shown in Figure 5-64 displays.

Event	Action	Date	Scheduled	Scheduled	INIT
Y APPL Application	FI	07-NOV-2007			AB
N AIND Anticipated Indictment	PD		10-NOV-2007		AB

Figure 5-64: Select Participants Related to an Event

- Place an X in the box before the name of a participant to attach the participant to the Event. Press ENTER to return to the **PARTICIPANT EVENT** block.

As shown in Figure 5-65 the **PARTICIPANT EVENT** block confirms that the selected participant has been attached to the Event.

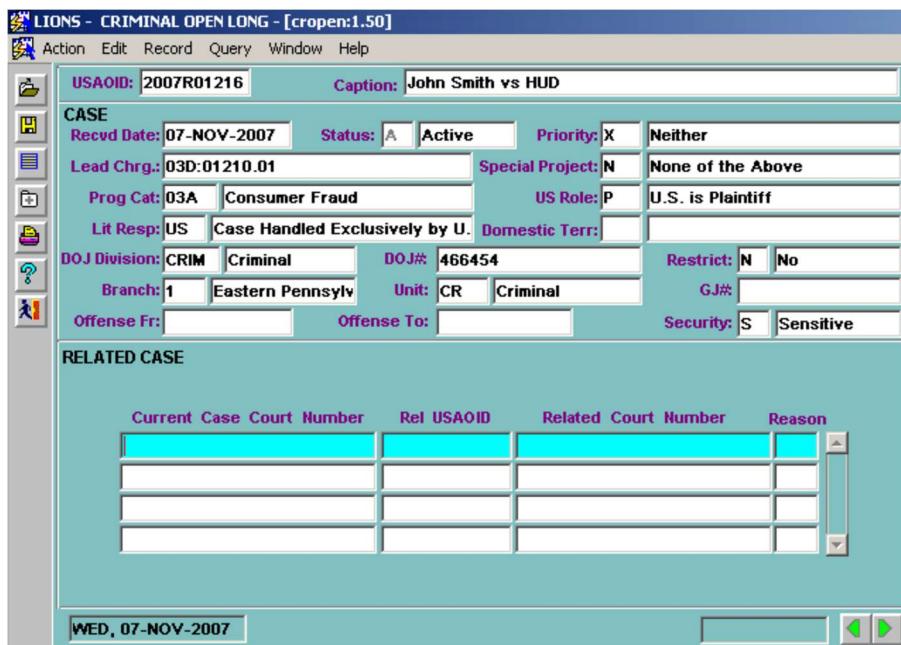
Event	Staff Last Name	Doc Code	DocStaff INIT	Doc Date	Location Scheduled	Judge INIT	Judge Last Name
APPL	Brown					CMR	RUFE
AIND	Brown					CG	GREEN

Figure 5-65: Selected Participants Event Block

If there are more events to be entered, press TAB, ENTER or CONTROL + PAGE UP to return to the **EVENT** screen and enter additional events.

If all participants have been related to all relevant events, press **CONTROL + PAGE DOWN** or press  to go to the **RELATED CASE** screen shown in Figure 5-66.

### 5.6.13. Related Case



The screenshot shows the LIONS - CRIMINAL OPEN LONG - [copen:1.50] window. The top menu bar includes Action, Edit, Record, Query, Window, and Help. The main area is titled "CASE" and contains various fields: USAOID (2007R01216), Caption (John Smith vs HUD), Recvd Date (07-NOV-2007), Status (A Active), Priority (X Neither), Lead Chrg. (03D:01210.01), Special Project (N None of the Above), Prog Cat (03A Consumer Fraud), US Role (P U.S. is Plaintiff), Lit Resp (US Case Handled Exclusively by U.), Domestic Terr (blank), DOJ Division (CRIM Criminal), DOJ# (466454), Restrict (N No), Branch (1 Eastern Pennsylv), Unit (CR Criminal), GJ# (blank), Offense Fr (blank), Offense To (blank), Security (S Sensitive). Below this is a "RELATED CASE" section with a table:

Current Case Court Number	Rel USAOID	Related Court Number	Reason

At the bottom left is the date WED, 07-NOV-2007, and at the bottom right are navigation icons.

Figure 5-66: Related Case

To relate one case to another case, or to relate the current case to a case that is no longer in LIONS:

**Current Case Court Number** - Type an **X** in the field and press **TAB** or **ENTER** to automatically enter the current court number

OR

Press **F9** and select from a list of court numbers for the current case.

Use the **UP** or **DOWN ARROW** to highlight the court number and press **ENTER**.

**Rel USAOID** (Related USAOID) - Enter the **USAOID** of the case related to the current case.

**Related Court Number** - Enter the court number of the case you want to relate to the current case.

**Reason** – Press **F9** and select the reason the cases are related. This field is required if data has been entered in any of the other fields.

When you have finished entering the Related Case information, press **CTRL + PAGE DOWN** or click  to go to the **CASE COMMENTS** block.

### 5.6.14. Case Comments

The following explains the values to be entered for the Case Comments screen, shown in Figure 5-67:

**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.

LIONS - CRIMINAL OPEN LONG - [copen:1.50]

Action Edit Record Query Window Help

USAOID:	2007R01216	Caption: John Smith vs HUD			
<b>CASE</b>					
Recv Date:	07-NOV-2007	Status:	A Active	Priority:	X Neither
Lead Chrg.:	03D:01210.01	Special Project:			N None of the Above
Prog Cat:	03A Consumer Fraud	US Role:			P U.S. is Plaintiff
Lit Resp:	US Case Handled Exclusively by U.	Domestic Terr:			
DOJ Division:	CRIM Criminal	DOJ#:	466454		
Branch:	1 Eastern Pennsylv	Unit:	CR Criminal	Restrict: N No	
Offense Fr:		Offense To:		GJ#:	
Type:	GFHO HUD - Other	Weight:	1 Project Indictment -	Security: S Sensitive	
Vic/Wit:	N No	Tribe:		CV Potent: A Asset Forfeitu	
Related Flu Flag:	<input type="checkbox"/>	Total Victims:		Reserv:	
<b>CASE COMMENTS</b>					
<input type="text"/> <input type="button" value="WED, 07-NOV-2007"/> <input type="button"/> <input type="button"/>					

**Figure 5-67: Case Comments**

To **Save and Exit**, 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 Open Long form, press **F6** in the Caption block and click on **Yes**.

## 6.0 CRIMINAL UPDATES AND CLOSING

Updates to criminal actions in LIONS may require adding information to existing records, changing information in existing records, or adding new records. The following table describes various types of updates and the steps necessary to accomplish them.

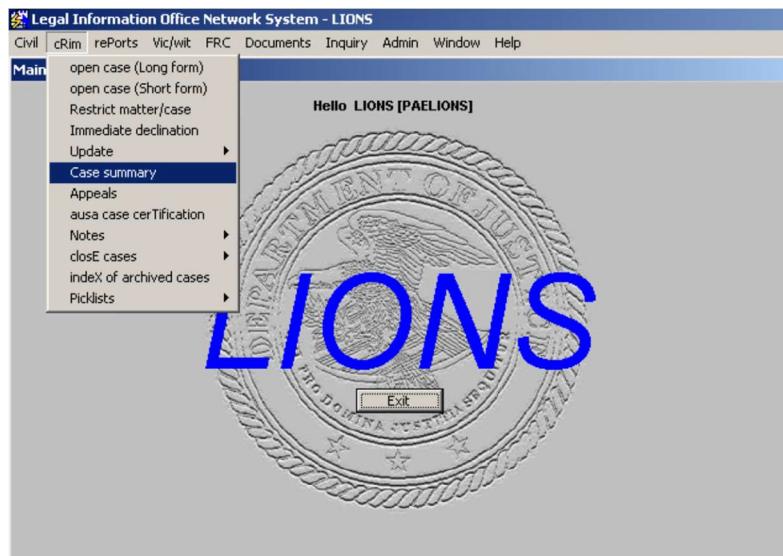
UPDATE	ACTION	PARAGRAPH
Criminal Updates and Closings	Introduction	6.0
Case Summary Option	Using the Case Summary Form for Updates and Closings	6.1
General Update Option	Using the General Update Option for Updates and Closings	6.2
Initial Court Filing	Close Participant Court Add new Court History Add 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
Judge Reassignments (Global)	Access Judge Reassignment form from Admin Module	6.6
Judge Reassignments (Individual)	Access Court History form	6.7
USAO Staff Reassignments (Global)	Access USAO Staff Reassignment form from Admin Module	6.8
USAO Staff Reassignments (Individual)	Access Court History form	6.9
Agency/Agent Information	Access Agency form	6.10

UPDATE	ACTION	PARAGRAPH
Restrict Case and other general Case Information	Access Restrict Matter/Case Access Case	6.11 6.12
Controlled Substance Information	Access Controlled Substance form	6.13, 6.14
Change Count, Sentence, or Restitution Information	Access Count Disp/Sentence/Restitution form	6.15
Defendant Status	Access Defendant Status form	6.16
Event/Scheduled Event Information	Access Event form	6.17
Evidence Information	Access Evidence form	6.18
Expert Information	Access Expert form	6.19
Assign DCMNS	Access Miscellaneous form	6.20
Opposing Counsel Information	Accessing Opposing Counsel form	6.21
Participant Information	Access Participant form	6.22
Triggerlock Information (Brady and Three-Strike)	Access Triggerlock form	6.23
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	6.24
Closing	Closing Participants Closing the Case	6.25

All updates to a matter/case can be made using either the **Case Summary** Screen or the **Update, General Update** option. The Case Summary option is recommended when making several changes to an individual criminal action e.g., going from **Not in Court** to a **Court**. The General Update option is recommended if only one kind of change is being made e.g., scheduling events in multiple cases.

## 6.1. 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**, as shown Figure 6-1.



**Figure 6-1: Criminal Case Summary**

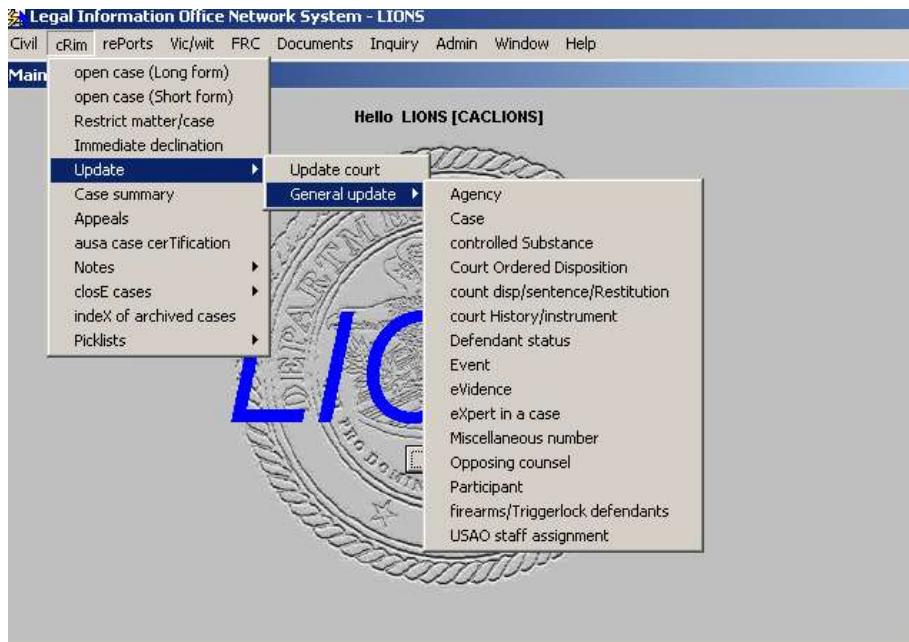
To access a criminal action from the Case Summary Screen, enter the **USAOID** and press **F8**. The Case Summary screen, shown in Figure 6-2, opens.

Any form for which the user **DOES NOT** have security permissions will be grayed out.

**Figure 6-2: Case Summary**

## 6.2. General Update

Select **Criminal, Update, General Update** from the LIONS Main Menu as shown Figure 6-3.



**Figure 6-3: Criminal Update, General Update**

Any form for which the user **DOES NOT** have security permissions will be grayed out.

## 6.3. Initial Court Filing (Not in Court to Court)

When moving a criminal action from **Not in Court** to a **Court**, the Court/Participant records for the existing Court History record must be closed and a new Court History record must be added.

Select **Court History/Instrument** from the **General Update** menu.

Enter the USAOID for the case being updated and press **F8**.

The Court History form for the requested case will display as shown in Figure 6-4.

### 6.3.1. Court History

**Figure 6-4: 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)** – Press **F9** and select **NW** (New Filing) or manually enter NW.

**Reason** – Press **F9** and select the reason for the disposition.

**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)** – Press **F9** and select the appropriate court code.

**Loc (Location)** - Enter the appropriate court location code, if applicable

**Filing Date** - Enter the date the Instrument was filed in court.

**Service Date** – Not applicable to Criminal updates. The cursor will skip this field.

**Court Number** - Enter the docket number assigned to the criminal 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. Because the Victim Notification System (VNS) links with the Electronic Case Filing (ECF) system, the following court number format will be enforced when the court selected is magistrate court or district court.

- Positions 1-2 are to be numeric - 2 digits, i.e. **11**.
- Position 3 is to be a dash. i.e. **-**.
- Positions 4-5 are to be alpha character - 2 characters, i.e. **CR**
- Position 6 is to be a dash, i.e. **-**.
- Positions 7-11 are to be numeric - all 5 positions must contain a digit. If the number is less than 5 digits, add leading zeros. i.e. **01234, 00123, 00012, 00001**.
- Values in positions 12 on are not looked at by VNS and are free for your use.

**Examples:** 11-CR-01234      11-CR-01234-E  
              11-CR-01234-1      11-CR-01234-01

**Trial Days** - Enter the number of trial days in the court. This field is optional. Whole days and partial days can be entered. Partial days must be entered as decimals.

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 5.6.2**.

After entering the new Court History, press **CTRL + PAGE DOWN** to go to the Court Participants block to attach participant(s) to the new court.

- Press **F9** and select a participant. LIONS will fill in the **Last Name, First Name, Cit Status** and **Country** codes from previously entered data.

Repeat for each participant being attached to the new Court History record.

At least one defendant **MUST** be attached to the Court History.

If the participant is not in the LOV, follow the steps below to add additional participants:

Press **F3** or click the Go To button  to access the Participant form to go to the Participant form.

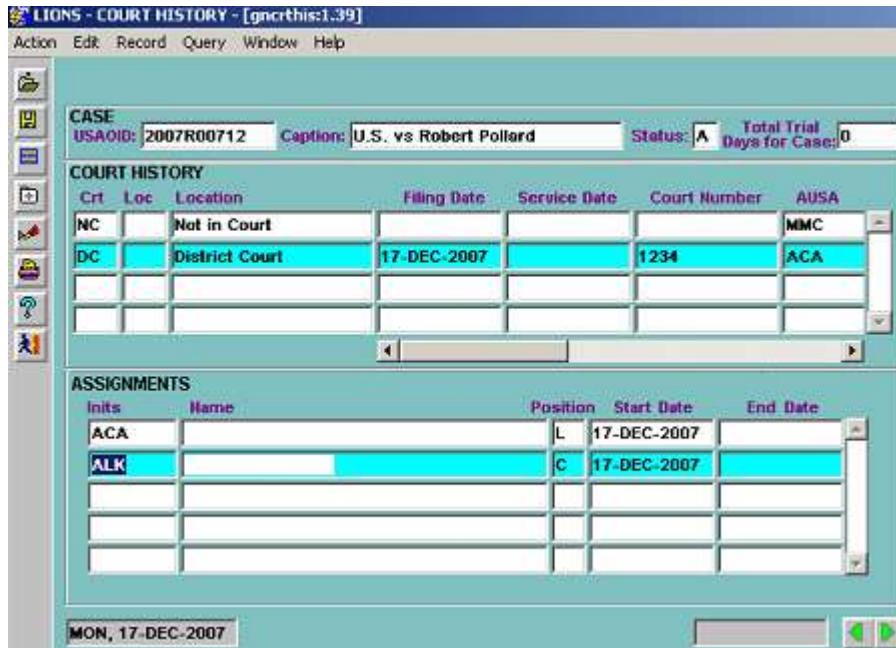
Enter information for the Participant.

Press the **Exit** icon.

Press **Y (Yes)** to **Save** changes and return to the **COURT/PARTICIPANTS** block.

When you have completed attaching participants to the new Court, press **CTRL + PAGE DOWN** and enter Assignment information (see Figure 6-5.). Optionally, you can close the Assignment record that is attached to the **NC** (Not in Court) Court History Record.

### 6.3.2. Assignments



The screenshot shows the LIONS - COURT HISTORY application window. The main title bar reads "LIONS - COURT HISTORY - [gnrcrthis:1.39]". The menu bar includes Action, Edit, Record, Query, Window, and Help. On the left is a vertical toolbar with icons for New, Open, Save, Print, and Exit. The main area is divided into sections: CASE, COURT HISTORY, and ASSIGNMENTS.

**CASE:** USAOID: 2007R00712, Caption: U.S. vs Robert Pollard, Status: A, Total Trial Days for Case: 0.

**COURT HISTORY:** A table with columns Crt, Loc, Location, Filing Date, Service Date, Court Number, and AUSA. It shows two rows: one for "NC" (Not in Court) and one for "DC" (District Court). The DC row has "17-DEC-2007" in the Filing Date column, "1234" in the Court Number column, and "MMC" and "ACA" in the AUSA column.

**ASSIGNMENTS:** A table with columns Inits, Name, Position, Start Date, and End Date. It shows two entries: "ACA" with "L" in Position and "17-DEC-2007" in Start Date, and "ALK" with "C" in Position and "17-DEC-2007" in Start Date.

At the bottom left is a date stamp: MON, 17-DEC-2007.

Figure 6-5: Assignments

**Inits** - Press **F9** and select the assignment to the new Court History record. The first entry defaults to **L (Lead)**.

**Position** – Press **F9** and select the Position code for each assignment.

**Start Date** – This field defaults to the current date. If this is incorrect, enter the date the staff assignment was made.

**End Date** – The date an assignment ends.

From the assignment block, press **CONTROL + PAGE DOWN** or click on to go to the **COURT/JUDGES** block shown in Figure 6-6.

### 6.3.3. Court/Judges

Initials	First Name, Last Name	Start Date	End Date
CBS	SMITH, CHARLES B.	17-DEC-2007	

MON, 17-DEC-2007

Figure 6-6: Court/Judges

**Initials** - Press **F9** and select the Judge assigned to the new Court History record.

**Name** – The field is defaulted, based on initials.

**Start Date** – This field defaults to the current date. If this is incorrect, enter the date the Judge was assigned to the case.

**End Date** – The date a Judge's assignment ends.

From the Court/Judge block, press **CONTROL + PAGE DOWN** or click on to go to the **INSTRUMENT** block shown in Figure 6-7.

### 6.3.4. Instrument

Type	Filing Date
IN	17-DEC-2007

MON, 17-DEC-2007

Figure 6-7: Instrument

**Type** - Press **F9** and select the appropriate instrument.

**Filing Date** - Enter the date the Instrument was filed.

From the Instrument block, press **CONTROL + PAGE DOWN** or click on to the **INSTRUMENT CHARGES** block shown in Figure 6-8.

### 6.3.5. Instrument Charges

INSTRUMENT CHARGES				
For:	IN	Indictment	17-DEC-2007	
Charge	Description	Penalty Provision	Category	
03D:01210.1	Practicing without License	15 :06823	F	
08 :01324a1	Encourages or induces an alien to com	08 :01324a1Bi	F	

COUNT  
2

MON, 17-DEC-2007

**Figure 6-8: Instrument Charges**

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** – Press **F9** and 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, five-digit section number, and subsections.

**System Managers** submit requests for new Global charge codes to TechOne.

**Penalty Provision** – Press **F9** and select the code for the penalty provision as stated in the instrument, if applicable. Penalty Provision codes may be entered manually. Include all characters in the section and subsection.

**Category** – Press **F9** and select one of the following codes, or enter the code manually.

- 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 finished entering count information, press **TAB**, **ENTER** or **CONTROL + PAGE DOWN** or press to go to the **DEFENDANT** and **COUNT** blocks shown in Figure 6-9.

### 6.3.6. Defendant and Count

The Defendant and Count blocks are used to attach Defendants named in the new Court History record to specific Counts listed in the charging Instrument.

DEFENDANT Instrument	D#	Last Name, First Name	DFStat	Start Date	2 of 2
<b>Information</b>	2	Smith, John			<b>Select Counts</b>
<b>COUNT</b>					
Count	Charge	Description	Category	Sealed?	
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>

**Figure 6-9: Defendant**

### **6.3.7. Defendant**

The Defendant block is a stacked block. All of the defendants attached to the new Court History record are listed in Defendant block for the highlighted Court. The counter in the upper right corner of the Defendant block shows the number of defendants attached to the Court History record. To select a Defendant:

Use the **UP** or **DOWN ARROW** to highlight the Defendant.

**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 to view all counts against the selected Defendant.

### **6.3.7.1. Select Counts**

The Select Counts form is used to select specific counts in the charging Instrument that apply to the selected Defendant. All fields in this block are pre-populated with information entered previously.

**Figure 6-10: Select Counts**

Click the check box preceding a Count to select it. If all Counts pertain to the Defendant, press **Select All**. To de-select all counts, press **Clear All**.

Click **OK**.

### 6.3.7.2. Count

As shown Figure 6-11, the Count Block now displays all Counts in the charging Instrument attached to a Defendant.

Count	Charge	Description	Category	Sealed?
1	03D:01210	Practicing without License	F	<input checked="" type="checkbox"/>
2	08 :01324a	Encourages or induces an alien to come to, enter, or remain in the United States	F	<input type="checkbox"/>

Figure 6-11: Count

**Sealed?** - Click the checkbox for each defendant's count to be sealed.

If at least one count is sealed, LIONS will automatically seal the case at the case level (the security field will be set to 'L'). 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 defendant, **TAB**, **ENTER** or **CONTROL + PAGE DOWN** or press to go to **COURT HISTORY COMMENT** block shown in Figure 6-12, if applicable.

Figure 6-12: Court History Comment

Save and exit the form.

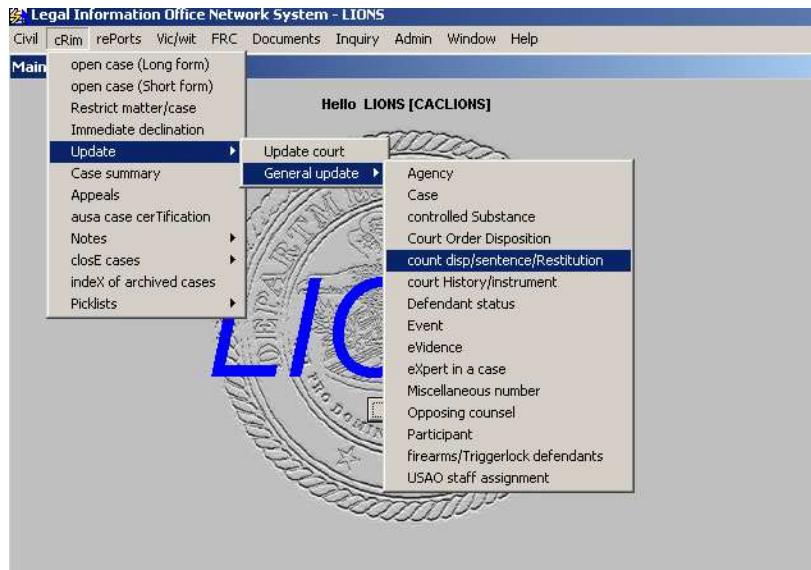
## 6.4. Changing from One Court to Another

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 as shown in Figure 6-13.

Enter the USAOID for the case to be updated and press **F8**.



**Figure 6-13: Criminal, Update, General Update - Count Disposition, Sentence/Restitution**

The **Count Disposition/Sentence/Restitution** form for the requested case will open as shown in Figure 6-14.

**Figure 6-14: 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, as shown in Figure 6-15.

Crt	Loc	Location	Filing Date	Service Date	Court Number	AUSA
DC	District Court		08-NOV-2007		12345	AG
NC	Not in Court					AGK

Role	Last Name, First Name	Cit Status	Country	DI	Reason	Date
D	Jones, John	I	AR			
D	Smith, John	E	YE			

**Figure 6-15: Court History**

**DOWN ARROW** to a blank line in the Court History block or press **F6** to insert a blank line:

**Court** – Press **F9** and select the appropriate court.

**Loc (Location)** - Enter the court location, if applicable. Location codes are established by the district.

**Filing Date** - Enter the date the criminal action was filed in the new court

**Service Date** - This field applies to **civil only**; the cursor will skip it.

**Court Number** - Enter the docket number assigned to the criminal 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. Because the Victim Notification System (VNS) links with the Electronic Case Filing (ECF) system, the following court number format will be enforced when the court selected is magistrate court or district court.

- Positions 1-2 are to be numeric - 2 digits, i.e. **11**.
- Position 3 is to be a dash. i.e. **-**.
- Positions 4-5 are to be alpha character - 2 characters, i.e. **CR**
- Position 6 is to be a dash, i.e. **-**.
- Positions 7-11 are to be numeric - all 5 positions must contain a digit. If the number is less than 5 digits, add leading zeros. i.e. **01234, 00123, 00012, 00001**.
- Values in positions 12 on are not looked at by VNS and are free for your use.

**Examples:** 11-CR-01234

11-CR-01234-E

11-CR-01234-1

11-CR-01234-01

**Trial Days** - Enter the number of trial days in the court. This field is optional. Whole days can be entered as a single numeral. Partial days must be entered as a decimal fraction e.g., 1.5, 2.25.

**DO NOT** select a code for the AUSA at this time.

When you have completed adding court information, **CONTROL + PAGE DOWN** to the **COURT/PARTICIPANTS** block to attach Participants to the new Court History record.

#### 6.4.2.1. Court/Participants

Press **F9** and select a participant.

Repeat for each participant being attached to the new Court History record.

LIONS will fill in the **Last Name**, **First Name**, **Cit Status** and **Country** codes from previously entered data.

At least one **Defendant MUST** be attached to the new Court History record.

If the Participant is new to the case being updated and is not in the LOV:

Press **F3** to go to the **PARTICIPANT** form for the case as shown in Figure 6-16.

The screenshot shows the LIONS - PARTICIPANT INFORMATION interface. At the top, there's a toolbar with icons for Action, Edit, Record, Query, Window, and Help. Below the toolbar, the title bar reads "LIONS - PARTICIPANT INFORMATION - [gnpart:1.29]". The main area has tabs for "CASE", "PARTICIPANT", and "DISPOSITION (READ ONLY)". Under "PARTICIPANT", there are four columns: Type (T), Role (Ro), Citizenship (CI), and Country (Co). The first row shows values D, U, UN, and a redacted name. To the right of this grid is a "DISPOSITION" table with columns for LOWER COURT (Di, Reas, Disp Date) and APPEAL COURT (Di, Reas, Disp Date). A date field at the bottom left shows "TUE,05-MAY-2009".

Figure 6-16: Participant

- Press F9 and select a code for the new Participant **Type**, **Role**, **Citizenship**, and **Country**.
- Enter the Last and First Name of the new Participant.

**CONTROL + PAGE UP** or click on to the **PARTICIPANT INFORMATION** block shown in Figure 6-17.

**Citizenship Status** and **Country** fields will be defaulted from previous entries. **Cit Status** of **U** (Unknown) should only be used until the information becomes available.

LIONS - PARTICIPANT INFORMATION - [gnpart:1.27]

CASE USAOID: 2007R00712 Caption: U.S. vs Robert Pollard Status: A

**INDIVIDUAL**

Last Name:	Smith	First Name:	John
Role:	D	Salutation:	
Position:		Arrest Date:	
Gender:		Court Trial #:	
DOB:		Crim Hist:	
FBI#:		Marshal #:	
Tribe:		Cit Status:	E Expired Visa/Visa
Weight:		Country:	IO Indonesia
Est Loss:		Act Loss:	
Home Address:	Office Address:		
City:	State:	City:	State:
Zip:	County:	Zip:	County:
Phone:	FAX:	Phone:	FAX:

TUE,18-DEC-2007

Figure 6-17: Participant Information (Individual Participant)

**CONTROL + PAGE DOWN** or press to access additional screens that can be used to capture detailed information about the participant. See Chapter 5, Criminal Initiation Section 5.7.5 Participant for more information on the forms.

Press the **Exit** icon.

Press **Y (Yes)** to **Save** the changes and return to the **COURT/PARTICIPANTS** block.

If **Cit Status** is **U** (Unknown), LIONS will continue to prompt the user to update the field.

As shown in Figure 6-18, the new Participant now appears in the **COURT PARTICIPANTS** block.

LIONS - COURT HISTORY - [gncrthis:1.39]

CASE USAOID: 2007R00712 Caption: U.S. vs Robert Pollard Status: A Total Trial Days for Case: 0

**COURT HISTORY**

Crt	Loc	Location	Filing Date	Service Date	Court Number	AUSA
DC		District Court	17-DEC-2007		1234	ACA
NC		Not in Court				MMC

**COURT/PARTICIPANTS**

Role	Last Name, First Name	Cit Status	Country	DI	Reason	Date
D	Pollard, Robert	C	US			
D	Smith, John	E	IO			

TUE, 18-DEC-2007

Figure 6-18: New Participant Added

When you have completed attaching participants to the new Court, press **CTRL + PAGE DOWN** and enter Assignment information (see Figure 6-19). 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 application window. At the top, there's a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu is a toolbar with various icons. The main area is titled 'CASE' with USAID: 2007R00712, Caption: U.S. vs Robert Pollard, and Status: A. It shows 'Total Trial Days for Case: 0'. Under 'COURT HISTORY', there's a table with columns Crt, Loc, Location, Filing Date, Service Date, Court Number, and AUSA. One row is highlighted for DC (District Court) with Filing Date 17-DEC-2007, Court Number 1234, and AUSA ACA. Another row is for NC (Not in Court) with AUSA MMC. Below this is the 'ASSIGNMENTS' section, which has columns Inits, Name, Position, Start Date, and End Date. It lists two assignments: one for ALK (KURLAND, AMY L) as C on 17-DEC-2007, and another for ACA (Adams, Ann) as L on 17-DEC-2007. The date at the bottom of the screen is TUE, 18-DEC-2007.

**Figure 6-19: Assignments**

#### 6.4.2.2. Assignments

The Lead AUSA must be entered and the Victim Witness Coordinator, if applicable. Other staff assignments can be entered and tracked, but are not required.

- **Inits** (Initials) – Press **F9** and select the initials of the Lead AUSA assigned to the case. LIONS will automatically fill in the name based on the initials selected. The position field defaults to **L**.  
Press **F9** and select remaining staff member(s) assigned to the matter or case. LIONS will automatically fill in the staff member's name based on the initials entered. Inits is a Local Code assigned by the Districts.

**Position** – Press **F9** and select a code for each staff member's position.

If Vic/Wit is Y, a Victim/Witness Coordinator MUST be entered.

**Victim Witness Coordinator** – Press **F9** and select the Victim Witness Coordinator, if applicable. The name will automatically be filled in based on the initials entered.

**Start Date** – This field defaults to the current date. If this is incorrect, enter the date the staff assignment was made.

**End Date** – The date assignment to the case ends.

From the assignment record, **CONTROL + PAGE DOWN** or click on to go to the **COURT/JUDGES** block shown in Figure 6-20.

COURT/JUDGES			
Initials	First Name, Last Name	Start Date	End Date
CBS	SMITH, CHARLES B.	17-DEC-2007	

TUE, 18-DEC-2007

**Figure 6-20: Court/Judges**

#### 6.4.2.3. Courts/Judges

- Optionally, the current Judge in the Court/Judges block can be closed by entering an end date.
- Initials** - Press **F9** and select the Judge assigned to the new Court History record.
- Start Date** – This field defaults to the current date. If this is incorrect, enter the date the Judge was assigned to the case.
- End Date** – The date a Judge's assignment to the case ends.

Figure 6-21 shows the updated **COURT/JUDGES** block.

COURT/JUDGES			
Initials	First Name, Last Name	Start Date	End Date
CBS	SMITH, CHARLES B.	17-DEC-2007	18-DEC-2007
ALL	LUONGO, ALFRED L.	18-DEC-2007	

TUE, 18-DEC-2007

**Figure 6-21: Updated Court/Judges**

From the Court/Judge block, press **CONTROL + PAGE DOWN** or click on to go to the **INSTRUMENT** block shown in Figure 6-22.

#### 6.4.2.4. Instrument

INSTRUMENT		
Type		Filing Date
IN	Indictment	17-DEC-2007

TUE, 18-DEC-2007

**Figure 6-22: Instrument**

**Type** - Press **F9** and select the type of Instrument

**Filing Date** - Enter the date the Instrument was filed.

From the Instrument block, press **CONTROL + PAGE DOWN** or click on to go to the **INSTRUMENT CHARGES** block shown in Figure 6-23.

#### 6.4.2.5. Instrument Charges

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.

**Figure 6-23: Instrument Charges**

**Charge** – Press **F9** and 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 and subsections.

**Penalty Provision** – Press **F9** and select the code for the penalty provision as stated in the instrument, if applicable. Penalty Provision codes may be entered manually. Include all characters in the section and subsection.

**Category** – Press **F9** and select one of the following Category codes, or enter the code manually.

**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 **TAB**, **ENTER** or **CONTROL + PAGE DOWN** or press to go to the **DEFENDANT** and **COUNT** blocks shown in Figure 6-24.

The screenshot shows the LIONS - COURT HISTORY application window. At the top, there's a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu is a toolbar with icons for New, Open, Save, Print, and Exit. The main area is titled 'CASE' and displays the USAOID: 2007R00712, Caption: U.S. vs Robert Pollard, Status: A, and Total Trial Days for Case: 0. The 'COURT HISTORY' section contains a table with columns: Crt, Loc, Location, Filing Date, Service Date, Court Number, and AUSA. One row is visible: DC, District Court, 17-DEC-2007, 1234, ALK. The 'DEFENDANT' section shows an instrument with D# 1, Last Name, First Name Pollard, Robert. The 'COUNT' section lists two charges: Practicing without License (D# 1) and Encourages or induces an alien to come to, enter, or reenter the United States (D# 2). The date TUE, 18-DEC-2007 is at the bottom.

**Figure 6-24: Defendant and Count**

#### 6.4.2.6. Defendant

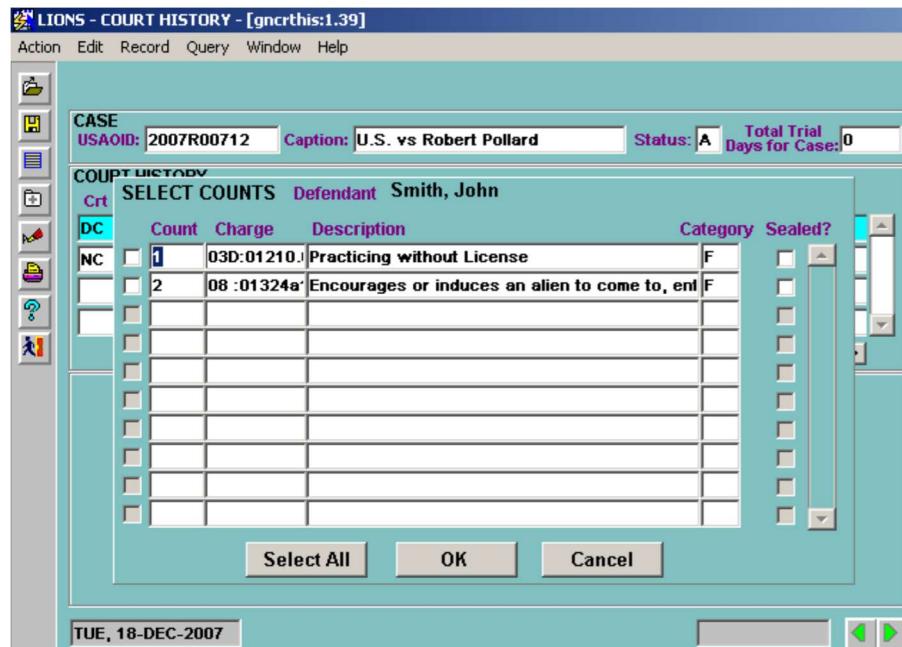
The Defendant block is a stacked block containing all defendants previously attached to the new Court History record. The counter in the upper right corner of the block indicates the number of Defendants and the relative position of each. Use the **UP** and **DOWN ARROWS** to move through the stack.

**Instrument** and **Last Name, First Name** fields are pre-populated with information from the Court History record.

**D#** (Defendant) – LIONS defaults to the order in which defendants were originally entered. If the order in which Defendants are listed in the charging instrument is different, enter the number representing the order of the Defendant in the charging instrument.

Changes to the **Def#** field do **NOT** change the order Participants appear in the Participant screen.

Click on the **Select Counts** button in the **DEFENDANT** block to see all counts in the charging instrument attached to the Defendant as shown in Figure 6-25 .



**Figure 6-25: Select Counts**

Click in the checkbox preceding a count to select. If all counts are applicable to the Defendant press **Select All**.

**Sealed?** – Click in the checkbox to seal the charge. If at least one count is sealed, LIONS will automatically seal the case at the case level (the security field will be set to 'L'). If all counts for all Defendants are unsealed, the case will be unsealed at the case level (the security field will be nulled out). Counts can also be sealed in the **COUNT** block.

Press **OK** to exit **Select Counts** and return to the **DEFENDANT** and **COUNT** blocks.

#### 6.4.2.7. Count

**Count, Charge, Description** and **Category** fields will be filled in automatically based upon the count(s) selected.

When you have completed attaching counts to the defendants, press **CONTROL + PAGE DOWN** or press ➤ to go to the **COURT HISTORY COMMENT** block shown in Figure 6-26.

Figure 6-26: Court History Comments

## 6.5. Superseding Instrument (when the court number does not change)

If a superseding instrument is filed and the court number does not change, you will need to close the counts of the preceding instrument before adding the new one.

Figure 6-27: Count Disposition/Sentence/Restitution

Before entering any data in this form (shown in Figure 6-27), 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** – Press **F9** and select **NW** or enter **NW** (New Filing).

**Disposition Reason** – Press **F9** and select a code for the new (superseding) instrument.

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. 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** (Superceding Indictment), and Filing Date.

INSTRUMENT		Filing Date
Type	Description	
CO	Complaint	07-NOV-1995
SN	Superseding Indictment	30-APR-2009

FRI, 01-MAY-2009

Figure 6-28: Instrument Block

From the Instrument block, press **CTRL + PAGE DOWN** to go to the Instrument Charges block.

INSTRUMENT CHARGES				
For:	IN	Indictment	08-AUG-2006	
Charge	Description		Penalty Provision	Category
18 :00156	Knowing disregard of bankruptcy law			M
18 :00157	Bankruptcy Fraud			M

COUNT  
2

Figure 6-29: 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.

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"/>

Figure 6-30: 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.

Figure 6-31: Court History Comments Block

## 6.6. USAO Staff Reassignments (Global)

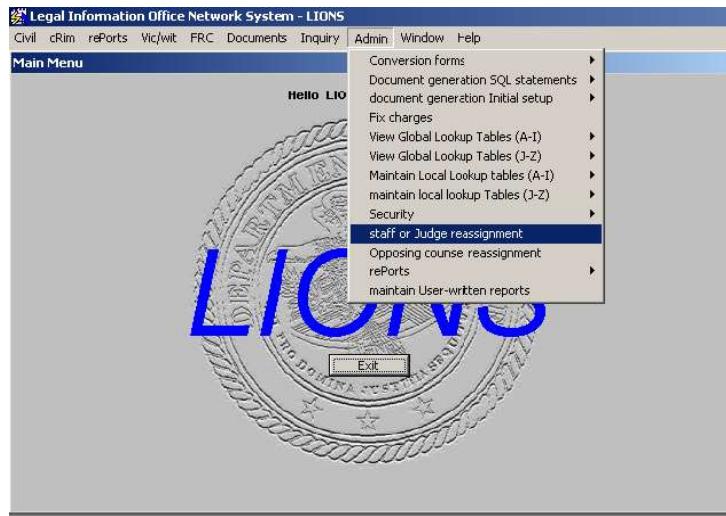
### 6.6.1. Reassignment Form

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.

Select **Admin<sup>1</sup>, Staff or Judge Reassignment** from the LIONS Main Menu as shown in Figure 6-32.



**Figure 6-32: Staff or Judge Reassignment (Global)**

The **REASSIGNMENT** form shown Figure 6-33 opens.

 A screenshot of the LIONS REASSIGNMENT form. The title bar reads "LIONS - REASSIGNMENT - [gnreasgn:1.2]". The menu bar includes Action, Edit, Record, Query, Window, and Help. On the left is a vertical toolbar with icons for New, Open, Save, Print, and Exit. The main area has two sections: "STAFF" and "JUDGE". The STAFF section contains fields for "Old Staff:" (two boxes) and "New Staff:" (two boxes). The JUDGE section contains fields for "Old Judge:" (two boxes) and "New Judge:" (two boxes). Below these are "ORDER BY" options for "Prog Cat/Cause Act" (with a checked checkbox), "Branch" (unchecked), and "Position" (unchecked). A "CASE" grid table follows, with columns: USAOID, Caption, Prog Cat, Cause Act, Br, Pos Crt, Loc, and Court #. The grid has 10 rows. At the bottom left is the date "TUE,18-DEC-2007".

**Figure 6-33: Reassignment Form**

<sup>1</sup> See System Manager for access to Admin menu.

Choose the Staff **OR** Judge block. Reassignments **CANNOT** be made for Staff **AND** Judge at the same time.

#### 6.6.1.1. Staff

**Old Staff** – Press **F9** and select the initials of the staff member currently assigned.

**New Staff** - Press **F9** and select the initials of the staff member being assigned.

#### 6.6.1.2. Order By

An **Order By** option must be selected.

Put an **X** in the box following **Prog Cat/Cause Act**, **Branch**, or **Position** to indicate how the list of criminal actions will be sorted.

**TAB** to query records.

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**.

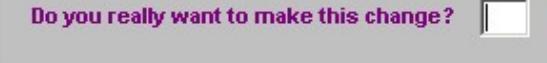
Use the arrow keys or the mouse to move up and down the list. Put an **X** next to any criminal action that you want to reassign, as shown in Figure 6-34. When making multiple selections, remember that you can only reassign criminal and civil actions from one USAO Staff person (or Judge) to another USAO 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.

USAOID	Caption	Prog Cat	Cause Act	Br	Pos Crt	Loc	Court #
2002R04232		020		L	C	DC	CR 02-938
2008R02683	U.S. v.	021		L	L	NC	
2005R03863	U.S. v.	040		L	L	MG	05-2550M
2006R00730	U.S.	040		L	L	MG	06-515M
2007R01130	U.S.	040		L	L	DC	EDCR 07-69
2007R02813	US	040		L	C	DC	CR 07-1172
2008R02474	U.S.	053		L	L	DC	CR 08-945
2007R02590	US	055		L	L	MG	07-XXXXM
2007R02802	US	055		L	L	DC	CR 07-1182
2008R02470	U.S.	087		L	L	DC	CR 08-944

Figure 6-34: USAO Staff Assignments (Global)

Press **F10** to execute the change.

The pop up screen shown in Figure 6-35 will display.



**Figure 6-35: Confirm Reassignment Dialog Box**

- Enter **Y (Yes)** in the checkbox and press **F10** to execute the reassignment.
- As shown in Figure 6-36, LIONS has automatically updated the Assignments block in the Court History. The End Date field of the current staff member defaults to the current date. Start Date for the new staff member defaults to the current date.

The screenshot shows the LIONS - COURT HISTORY window for case USAOID: 2005R03863. The 'COURTHISTORY' section displays two entries: 'District Court' (Filing Date: 03-JAN-2006, Service Date: blank, Court Number: CR 06-2, AUSA: BAGI) and 'Magistrate Court' (Filing Date: 19-DEC-2005, Service Date: blank, Court Number: 05-2550M, AUSA: AD). The 'ASSIGNMENTS' section shows staff members AD and ABEV assigned to the case. The current date is listed as WED, 22-APR-2009 at the bottom.

**Figure 6-36: Updated USAO Staff Assignments (Global)**

## 6.7. USAO Staff Reassignments (Individual)

### 6.7.1. Update Option

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.

The **USAO STAFF ASSIGNMENT** record for the requested case opens as shown in Figure 6-37.

The screenshot shows the LIONS - USAO STAFF ASSIGNMENT window for case USAOID: 2007R00712. The 'COURTHISTORY (READ ONLY)' section shows 'District Court' assigned to court number 1234. The 'ASSIGNMENT' section lists two assignments: 'ALK' (KURLAND, AMY L.) and 'ACA' (Adams, Ann), both assigned to position C on 17-DEC-2007. The current date is listed as TUE, 18-DEC-2007 at the bottom.

### Figure 6-37: USAO Staff Assignment (Individual)

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.

Figure 6-38 shows the updated Assignment block.

The screenshot shows the LIONS - USAO STAFF ASSIGNMENT application window. At the top, it displays the case number 2007R00712 and caption U.S. vs Robert Pollard. The status is set to 'A'. Below this, the 'COURT HISTORY (READ ONLY)' section shows '1 OF 2' courts, with DC (District Court) selected and Court Number 1234. The 'ASSIGNMENT' section lists four staff members with their initials, last names, positions, start dates, and end dates. The fourth row, for KURLAND, AMY L., has an empty 'End Date' field, indicating it is currently assigned. The bottom of the screen shows the date TUE, 18-DEC-2007.

Initials	Last Name, First Name	Pos	Start Date	End Date
AFG	Givhan, Annetta Foster	L	18-DEC-2007	
ADF	Fisk, Arlene	C	18-DEC-2007	
ACA	Adams, Ann	L	17-DEC-2007	18-DEC-2007
ALK	KURLAND, AMY L.	C	17-DEC-2007	18-DEC-2007

Figure 6-38: Updated USAO Staff Assignment (Individual)

Press **F10** to accept/save changes. Press the **Exit** icon to go to the LIONS Main Menu.

## 6.8. Judge Reassignments (Global)

### 6.8.1. Reassignment Form

Select **Admin, Staff or Judge Reassignment** from the LIONS Main Menu.

The Reassignment Form shown in Figure 6-39 will open.

Figure 6-39: Reassignment

#### 6.8.1.1. Judge

Press **F9** and select the initials of the current Judge.

Press **F9** and select the initials of the Judge being assigned.

#### 6.8.1.2. Order By

An Order By option must be selected.

Put an **X** in the box following **Prog Cat/Cause Act, Branch, or Position** to indicate how the list of criminal actions will be sorted.

**TAB** to query records.

LIONS will return all records assigned to the current Judge, as shown in Figure 6-40.

The screenshot shows the LIONS - REASSIGNMENT application window. At the top, there's a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu is a toolbar with icons for file operations like Open, Save, Print, and Exit. The main area is divided into sections: STAFF (Old Staff: [ ] [ ], New Staff: [ ] [ ]), JUDGE (Old Judge: ABC [ ], New Judge: BB [ ]), ORDER BY (Prog Cat/Cause Act [ ] Branch [X] Position [ ]), and CASE (a grid table). The CASE table has columns: USAOID, Caption, Prog Cat, Cause Act, Br, Pos Crt, Loc, and Court #. A row for case 1995R05544 is selected, highlighted with a blue border. The bottom of the screen shows the date WED, 22-APR-2009.

**Figure 6-40: Current Judge Assignments**

Place an **X** in the checkbox before each case to be reassigned.

Press **F10** to execute the change.

The pop up shown in Figure 6-41 will display.



**Figure 6-41: Confirm Changes Dialog Box**

Enter **Y (Yes)** in the checkbox and press **F10** to accept/save changes.

The message shown in Figure 6-42 will display.



**Figure 6-42: Transaction Confirmation Message**

Press **OK**.

As shown in Figure 6-43, when reassessments are made using the Reassignment form, LIONS will automatically update the Judges block in the Court History. End Date for the current Judge defaults to the current date. Start Date for the new Judge defaults to the current date.

The screenshot shows the LIONS - COURT HISTORY application window. At the top, the title bar reads "LIONS - COURT HISTORY - [gncrthis:1.48]". Below the title bar is a menu bar with "Action", "Edit", "Record", "Query", "Window", and "Help". A toolbar on the left contains icons for file operations like Open, Save, Print, and Help.

The main area is divided into two sections:

- CASE:** USAOID: 1995R05544, Caption: US v, Status: A, Total Trial Days for Case: 0.
- COURT HISTORY:** A grid table with columns: Crt (DC), Loc (District Court), Filing Date (27-JUL-1993), Service Date, Court Number (CR 93-685), and AUSA (NOF). There are several empty rows below this table.
- COURT/JUDGES:** A grid table with columns: Initials (ABC, BB), First Name, Last Name, Start Date (27-JUL-1993, 22-APR-2009), and End Date. It lists two entries: ABC and BB.

At the bottom of the screen, the date is shown as "WED, 22-APR-2009" and there are navigation buttons.

Figure 6-43: Updated Court History – Court/Judges Block

## 6.9. Judge Reassignment (Individual)

Individual Judge reassessments are made in the Court History screen.

Select **Criminal, Update, Update Court** from the LIONS Main Menu

OR

Select **Criminal, Update, General Update, Court History/Instrument** from the LIONS Main Menu.

Enter the USAOID for the case to be updated and press **F8**.

The Court History record for the requested case opens as shown in Figure 6-44 opens.

The screenshot shows the LIONS - COURT HISTORY application window with a different case record. The title bar reads "LIONS - COURT HISTORY - [gncrthis:1.39]". The menu and toolbar are similar to Figure 6-43.

The main area is divided into two sections:

- CASE:** USAOID: 2007R00712, Caption: U.S. vs Robert Pollard, Status: A, Total Trial Days for Case: 0.
- COURT HISTORY:** A grid table with columns: Crt (DC), Loc (District Court), Filing Date (17-DEC-2007), Service Date, Court Number (1234), and AUSA (AFG). It also includes rows for Not in Court (Loc: NC) and other participants.
- COURT/PARTICIPANTS:** A grid table with columns: Role (D), Last Name, First Name (Pollard, Robert), Cit (C), Status (US), Country (US), DI, Reason, and Date.

At the bottom of the screen, the date is shown as "TUE, 18-DEC-2007" and there are navigation buttons.

Figure 6-44: Court History

Enter an **End Date** for the current Judge.

**DOWN ARROW** to a blank line or press **F6** to insert a blank line.

**Inits** - Press **F9** and select the initials of the Judge being assigned.

**Start Date** – This field defaults to the current date. If this is incorrect, enter the correct date.

Press the **Exit** icon and click **Y (Yes)** in the Save dialog box.

Figure 6-45 shows the updated Court/Judges block.

The screenshot shows the 'COURT HISTORY' and 'COURT/JUDGES' sections of the LIONS application. In the 'COURT HISTORY' section, there are two rows: one for 'DC' (District Court) with 'Filing Date' 17-DEC-2007 and 'Court Number' 1234; and one for 'NC' (Not in Court) with 'AUSA' MMC. In the 'COURT/JUDGES' section, there are two rows: one for 'CBS' (Smith, Charles B.) with 'Start Date' 17-DEC-2007 and 'End Date' 18-DEC-2007; and one for 'BIF' (Fox, Bruce I.) with 'Start Date' 18-DEC-2007 and 'End Date' 18-DEC-2007. The status bar at the bottom shows 'TUE, 18-DEC-2007'.

**Figure 6-45: Updated Court/Judges**

Press the **Exit** icon and click **Y (Yes)** in the Save dialog box.

## 6.10. Agency/Agent Information

To access the Agency form from the General Update menu or Criminal Update/Case Summary screen, shown in Figure 6-46.

The screenshot shows the 'AGENCY' screen. It includes sections for 'AGENCY' (Role: IN, Agency Code and Office: JUFB, Agency Number: Federal Bureau of Investigation), 'AGENT' (Agent: Coleman, First Name: Jesse, Title: Special Agent, Lead: Y), 'AGENCY OFFICE (READ ONLY)' (Office: [empty], Address: [empty], City: [empty], State: [empty]), and 'AGENCY COMMENTS' (Comments: [empty]). The status bar at the bottom shows 'TUE, 18-DEC-2007'.

**Figure 6-46: 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.

## 6.11. 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 it 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.

Select **Criminal, Restrict Matter/Case** from the LIONS Main Menu as shown in Figure 6-47.

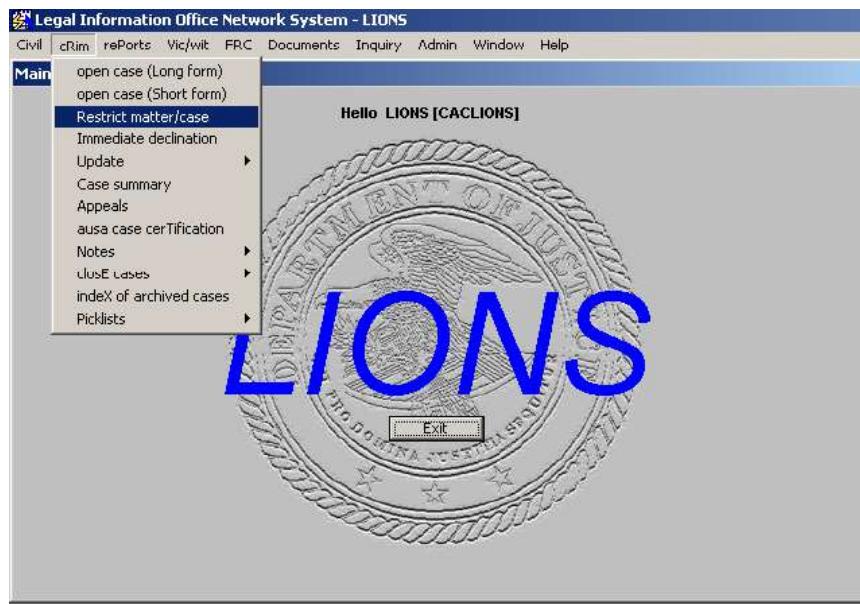


Figure 6-47: Restrict Matter/Case

The **CASE STAFF GROUP** screen shown in Figure 6-48 opens.

Name	Description

Figure 6-48: 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.

## 6.12. 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. The criminal open long form of the requested case opens as shown in Figure 6-49.

**Figure 6-49: Criminal Open Long**

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.

**DO NOT** make changes to the **Court History** or **Assignment** blocks through the Case form. Use the individual **Court History** or **Court/Staff Assignment** forms.

## 6.13. Controlled Substance

If you need to change or add information about drugs in a criminal action, access the Controlled Substance form, from the LIONS Criminal General Update menu or Case Summary screen, as shown in Figure 6-50.

**Figure 6-50: Controlled Substance**

Type, Quantity Seized and Measure Seized can be changed. To change information, click in the field.

**Type** - Press **F9** and select a code for the type of controlled substance.

**Quantity Seized** – Enter the amount of controlled substance seized.

**Measure Seized** – Enter the unit of measure for the Quantity Seized.

If **Type** is O (Other) a description of the drug **MUST** be entered in the **Other Description** field.

To add a drug to the Controlled Substance block:

**DOWN ARROW** to a blank line or press **F6** to insert a blank line.

**Type** - Press **F9** and select the substance seized.

**Quantity Seized** - Enter the quantity seized.

**Measure Seized** - Press **F9** and select the unit of measure for the quantity seized.

#### 6.14. Controlled Substance Comments

Highlight the substance in the Controlled Substance block to which the comments apply.

Click the **Exit** icon and click **Y (Yes)** to save and exit the form, or press **F10** to accept/save changes.

#### 6.15. 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, which will open as shown in Figure 6-51. A series of three data entry screens will be displayed.

**Figure 6-51: Count Disposition/Sentence/Restitution**

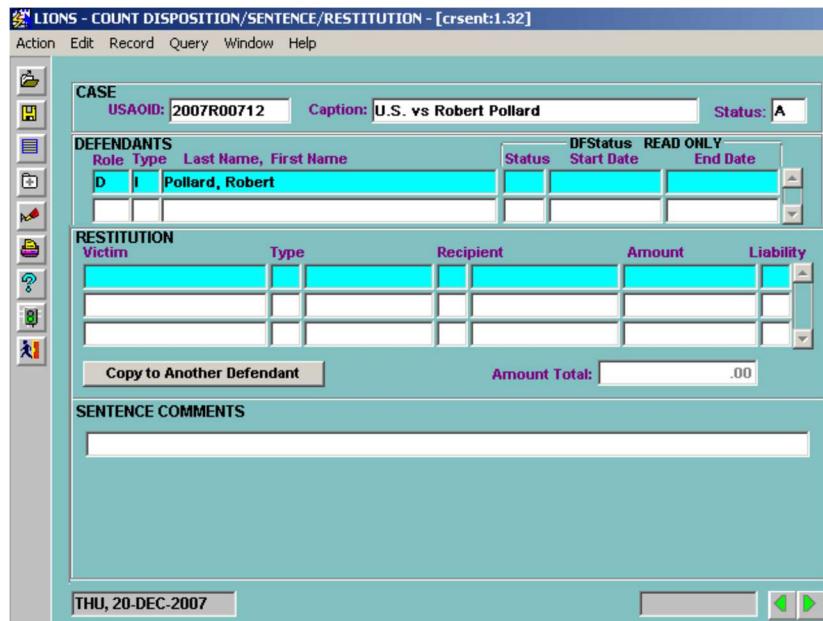
The only data you can change on the Court Disposition Form are the Disposition Date, Disposition, and Disposition Reason. Be sure you have highlighted the appropriate defendant, court, and instrument first. If you are trying to make changes for a defendant who does not immediately appear in the Defendant 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).

All data in the Sentence block, except the Sentence date, can be changed (see Figure 6-52). 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.

**Figure 6-52: Sentence**

To display the restitution screen, press **TAB**, **ENTER** or press **CONTROL + PAGE DOWN** or  to go to the **RESTITUTION** block, as shown in Figure 6-53.



The screenshot shows the LIONS software interface for managing court cases. The main window title is "LIONS - COUNT DISPOSITION/SENTENCE/RESTITUTION - [crsent:1.32]". The menu bar includes Action, Edit, Record, Query, Window, and Help. A toolbar on the left contains icons for file operations like Open, Save, Print, and Search. The main area is divided into sections: "CASE" (USAOID: 2007R00712, Caption: U.S. vs Robert Pollard, Status: A), "DEFENDANTS" (a table with columns Role, Type, Last Name, First Name, Status, DFStatus, Start Date, End Date, showing entries for D, I, Pollard, Robert), and "RESTITUTION" (a table with columns Victim, Type, Recipient, Amount, Liability, showing a single row for Pollard, Robert). Below these is a "Copy to Another Defendant" button and an "Amount Total: .00" field. A "SENTENCE COMMENTS" text area is also present. The bottom status bar shows the date THU, 20-DEC-2007 and navigation buttons.

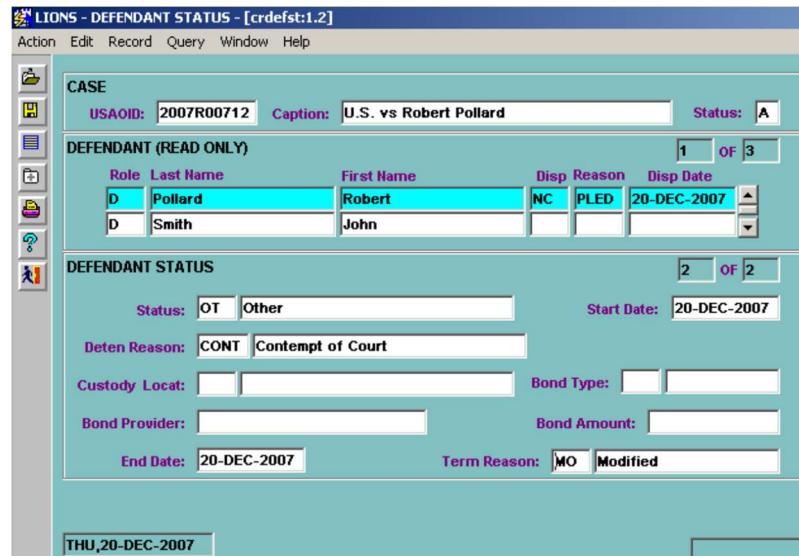
**Figure 6-53: Restitution**

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**.

## 6.16. Defendant Status

To add or make a change to a defendant's status, access the Defendant Status form, as shown in Figure 6-54.



The screenshot shows the LIONS software interface for managing defendant status. The main window title is "LIONS - DEFENDANT STATUS - [crdefst:1.2]". The menu bar includes Action, Edit, Record, Query, Window, and Help. A toolbar on the left contains icons for file operations like Open, Save, Print, and Search. The main area is divided into sections: "CASE" (USAOID: 2007R00712, Caption: U.S. vs Robert Pollard, Status: A), "DEFENDANT (READ ONLY)" (a table with columns Role, Last Name, First Name, Disp Reason, Disp Date, showing entries for D, Pollard, Robert, NC, PLED, 20-DEC-2007; and D, Smith, John, NC, PLED, 20-DEC-2007), and "DEFENDANT STATUS" (a table with fields for Status (OT, Other), Start Date (20-DEC-2007), Deten Reason (CONT, Contempt of Court), Custody Locat, Bond Type, Bond Provider, Bond Amount, End Date (20-DEC-2007), Term Reason (MO, Modified)). The bottom status bar shows the date THU,20-DEC-2007.

### Figure 6-54: Closed Defendant Status

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.

**DOWN ARROW** to a blank form and enter information about the Defendant's new status.

**Status** – Press **F9** and select a code for the Defendant's new status.

**Start Date** (Status Date) - Enter the beginning date of the new status.

**Deten Reason** (Detention Reason) – Press **F9** and select a code that explains why the Defendant is being detained, if applicable.

**Custody Locat** (Custody Location) – Press **F9** and select the code for the location where the Defendant is being detained, if applicable.

**Bond Type** – Press **F9** and select the code for the type of bond, if applicable.

**Bond Provider** – Enter the name of the bond provider, if applicable.

**Bond Amount** – Enter the amount of the bond, if applicable. It is not necessary to enter a dollar sign (\$) or a decimal.

**Term Reason** - If you have entered an End Date, enter the reason the Defendant Status is over; e.g., **AP** (Apprehended). (LOV)

Figure 6-55 shows the updated Defendant Status record.

**Figure 6-55: Updated Defendant Status**

## 6.17. 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, as shown in Figure 6-56 and Figure 6-57.

If an **Event** code is entered, an **Event Date** or **Date Scheduled** **MUST** be entered.

The screenshot shows the LIONS - EVENT application window. The title bar reads "LIONS - EVENT - [gnevent:1.12]". The menu bar includes Action, Edit, Record, Query, Window, and Help. The main area is divided into sections:

- CASE:** USAOID: 2007R00712, Caption: U.S. vs Robert Pollard, Status: A.
- COURT HISTORY:** Court Location: DC (District Court), Filing Date: 17-DEC-2007, Court Number: 1234. A "See Participants" button is present.
- EVENT:** A grid table with columns: Rel Event, Action, Event Date, Date Scheduled, Time Scheduled, Staff INIT. The first row is highlighted in blue.
- EVENT COMMENTS:** A text input field.
- DATE:** THU,20-DEC-2007.

Figure 6-56: Event (left side)

The screenshot shows the LIONS - EVENT application window. The title bar reads "LIONS - EVENT - [gnevent:1.12]". The menu bar includes Action, Edit, Record, Query, Window, and Help. The main area is divided into sections:

- CASE:** USAOID: 2006R00194, Caption: US vs Defendant, Status: A.
- COURT HISTORY:** Court Location: DC (District Court), Filing Date: 08-AUG-2006, Court Number: DC-0000345. A "See Participants" button is present.
- EVENT:** A grid table with columns: Rel Event, Staff Last Name, Doc #, Doc Staff INIT, Doc Date, Location Scheduled, Judge INIT, Judge Last Name. The first row is highlighted in blue.
- EVENT COMMENTS:** A text input field.
- DATE:** TUE,08-AUG-2006.
- Buttons:** <S><U><I><D>

Figure 6-57: 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. Do not perform the task in victim cases. Create a separate record to 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 6-58.

PARTICIPANTS RELATED TO EVENTS			Role	Last Name, First Name	Disp	Reason	Disp Date
D	Tucker, John		GT	PLED	08-AUG-2006		

**Figure 6-58: 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 Figure 6-59.

RELATE PARTICIPANTS TO EVENTS			X	Role	Last Name, First Name	Disp	Reason	Disp Date
	D	Tucker, John		GT	PLED	08-AUG-2006		

EVENT		Case History Report		Action	Event Date	Date Scheduled	Time Scheduled	Staff INIT
Rel Event								
Y	AGNT	Meeting with Agent	CN	08-AUG-2006				LMP
N	ARGN	Initial Appearance	CN	08-AUG-2006				LMP

PARTICIPANTS RELATED TO EVENTS			Role	Last Name, First Name	Disp	Reason	Disp Date
D	Tucker, John		GT	PLED	08-AUG-2006		

**Figure 6-59: 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.

## 6.18. Evidence

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, as shown in Figure 6-60.

The screenshot shows the LIONS Evidence form window. At the top, the title bar reads "LIONS - EVIDENCE - [crevid:1.2]" with menu options Action, Edit, Record, Query, Window, Help. The main area is divided into sections: "CASE" (USAOID: 2007R00712, Caption: U.S. vs Robert Pollard, Status: A), "EVIDENCE" (Type: [ ] [ ] 1 OF 1, DC Exhibit Num: [ ] GJ Exhibit Num: [ ], Storage Date: [ ] Location: [ ] [ ], Disposition Date: [ ] Disposition: [ ] [ ]), and "EVIDENCE COMMENTS" (a large text input field). The bottom status bar displays "THU,20-DEC-2007".

**Figure 6-60: Evidence**

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** – Press **F9** and select the code for the type of evidence being tracked. The code for this field is established by your district.

**DC Exhibit Num** (DC Exhibit Number) - Enter the exhibit number assigned to the evidence at trial.

**GJ Exhibit Num** (GJ Exhibit Number) - Enter the exhibit number assigned to an exhibit presented before the Grand Jury.

**Storage Date** - Enter the date evidence was placed in storage.

**Location** – Press **F9** and select the code that identifies the location where the evidence is stored. Location is a local code established by the districts.

**Disposition Date** - Enter the date evidence was destroyed, returned to a third party, or otherwise disposed of.

**Disposition** – Press **F9** and select the code that describes how the disposition of evidence was accomplished. Disposition is a local code established by the districts.

**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.

## 6.19. Expert in a Case

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, as shown in Figure 6-61.

**Figure 6-61: Expert in a Case**

You can enter the following information in this form:

**Expert Side** – Press **F9** and select the code that identifies for whom the expert is testifying. Enter **G** (Government) or **O** (Opposing Side).

**Inits** – Press **F9** and select 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.

## 6.20. 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, as shown in Figure 6-62.

The screenshot shows a computer application window titled "LIONS - MISCELLANEOUS NUMBERS - [gnmscnum:1.2]". The menu bar includes "Action", "Edit", "Record", "Query", "Window", and "Help". On the left, there is a vertical toolbar with icons for file operations like Open, Save, Print, and Exit. The main area is a grid table titled "CASE" with columns: USAOID, Caption, DCMNS, Physical Location, and FRC #. The first row contains data: USAOID "2007V00712", Caption "U.S.", and the other three columns are empty. At the bottom left of the grid, there is a yellow "Exit" button. The status bar at the bottom displays the date "TUE,05-MAY-2009".

**Figure 6-62: Miscellaneous Numbers**

**DCMNS** – Enter the DCMNS number assigned to the case.

**Physical Location** – Enter a code, number or description that identifies where the record is physically located.

**FRC (Federal Records Center)** – Enter the number for the FRC that houses the record, if applicable.

Press the **Exit** icon and click on **Y (Yes)** in the dialog box to save entries and exit the form or press **F10** to accept/save changes.

## 6.21. Opposing Counsel

To track Opposing Counsel information, access the Opposing Counsel form from the General Update Menu or Case Summary screen, as shown in Figure 6-63.

Role	Last Name	First Name	Disp	Reason	Disp Date
D	Pollard	Robert	NC	PLED	20-DEC-2007
D	Smith	John			

**Figure 6-63: Opposing Counsel**

Highlight the appropriate participant in the **PARTICIPANT** block. **CONTROL + PAGE DOWN** to the Opposing Counsel block.

- **Inits** (Initials) - Press **F9** and select the initials of the new counsel.
- **Name** – The system will fill in the name based on initials.
- **Type** – Press **F9** and select the code for the counsel type.
- **Start Date** – Enter the date the new counsel was assigned to the case.

Press the **Exit** icon and click on **Y (Yes)** in the dialog box to save entries and exit the form or press **F10** to accept/save changes.

## 6.22. Participant Information

To add or change Participant information, access the Participant form from the General Update Menu or Case Summary screen, as shown in Figure 6-64.

The screenshot shows the LIONS - PARTICIPANT INFORMATION window. At the top, there are fields for USAOID, Caption, and Status. Below this is a section titled 'PARTICIPANT' containing a grid of participant information. The grid has columns for Type (T), Role (Ro), Defense (Def), Client (Cl), Company (Co), Name, Disposition (Di), Reason (Reas), Date (Disp Date), Appeal (APPEAL), Court (COURT), and Disposition (Di), Reason (Reas), Date (Disp Date). The disposition section is labeled 'DISPOSITION (READ ONLY)'. The bottom of the window displays the date 'TUE, 10-MAR-2009' and some navigation icons.

**Figure 6-64: Participant Information**

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**.

## 6.23. 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, as shown in Figure 6-65.

**Figure 6-65: Triggerlock**

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

## 6.24. Picklists

The following five LIONS code lists are maintained and controlled by the districts:

Agency Office

Opposing Attorney

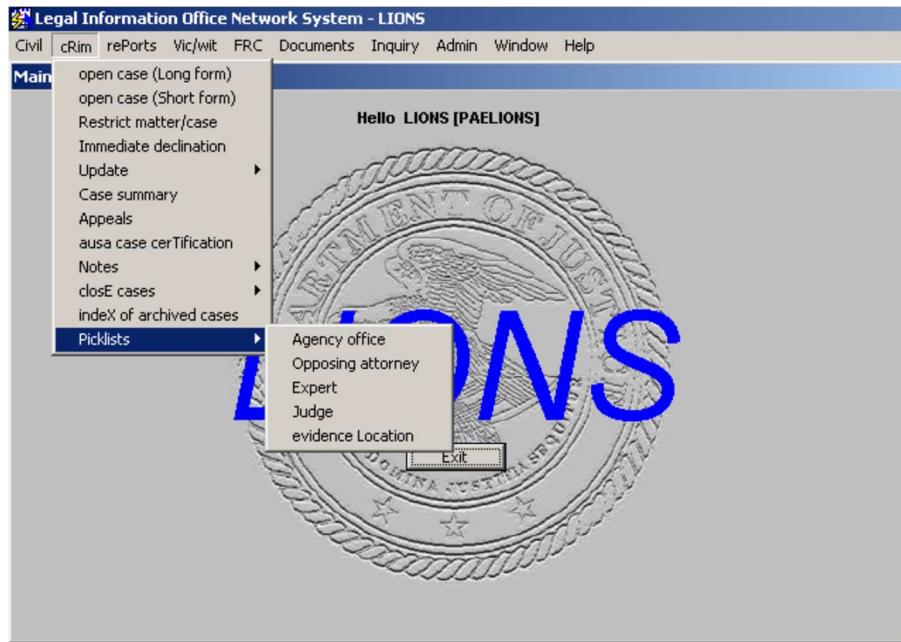
Expert

Judge

Evidence Location

Additions, deletions or changes to a Picklist will automatically be reflected in the LOV for the field.

Select **Criminal or Civil, Picklists** from the LIONS Main Menu as shown in Figure 6-66.



**Figure 6-66: Picklists**

#### 6.24.1. Agency Office

This option allows you to capture multiple addresses for the same agency (see Figure 6-67).

**Figure 6-67: 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.

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 select 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

### 6.24.2. Opposing Attorney

This option allows you to capture pertinent information concerning an opposing attorney, as shown in Figure 6-68.

Figure 6-68: Opposing Attorney

### 6.24.3. Expert

This option allows you to capture information about expert witnesses, including the type of expert; e.g., Banker. The Expert screen is shown in Figure 6-69.

Figure 6-69: Expert

### 6.24.4. Judge

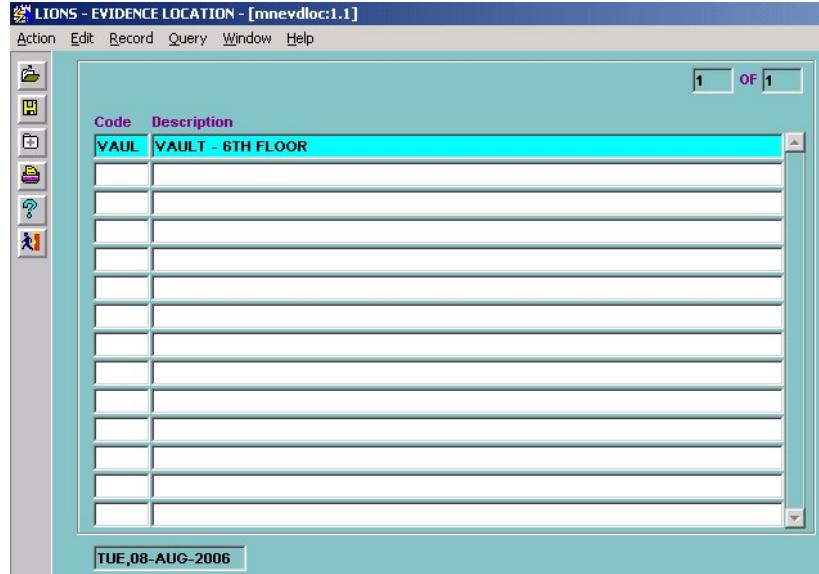
This option allows you to capture pertinent information about judges, as shown in Figure 6-70.

Initials	Judge Status	Last Name	First Name	Type	Court Room #
AA	I	Inactive			
AAH	I	Inactive			
ABC	A	Active			
AC	I	Inactive			
AGR	A	Active			
AHM	A	Active			
AIJ	I	Inactive			
AJ	I	Inactive			
AJG	A	Active			
AJW	A	Active			
AK	I	Inactive			
AKP	I	Inactive			

Figure 6-70: Judge Picklist

### 6.24.5. Evidence Location

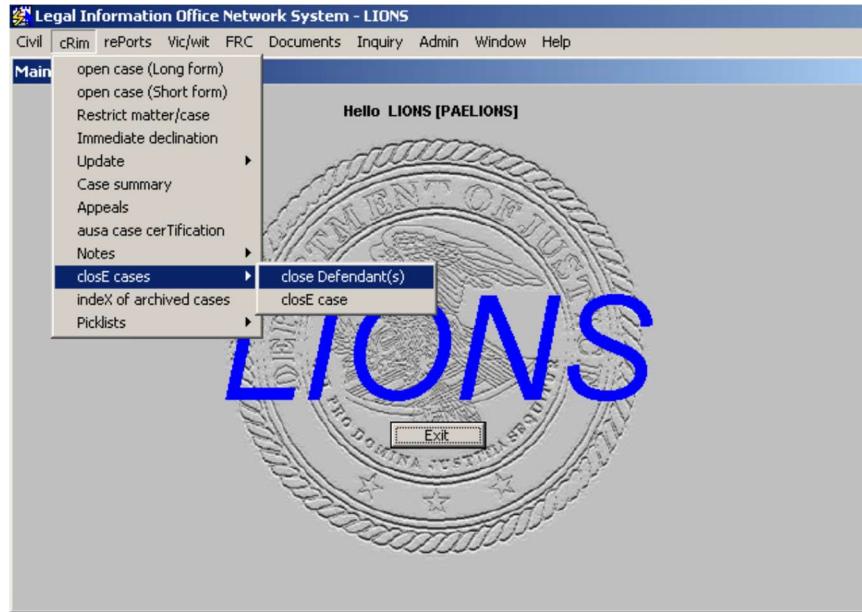
This option allows you to capture information about where evidence is stored, as shown in Figure 6-71.



**Figure 6-71: Evidence Location Picklists**

### 6.25. Criminal Closing

The closing of a criminal action in LIONS involves closing each defendant, and then closing the case. Closing one defendant in a criminal matter or case does not close the case itself. The case will not be closed in LIONS until final disposition of all defendants. Figure 6-72 shows how to start the process.



**Figure 6-72: Close Defendants**

## 6.25.1. Final Disposition of a Defendant

A defendant is disposed of when no further action is pending against him or her. The following actions constitute final disposition of a defendant in a criminal matter or case.

Type of Disposition	Go To Form
Declination	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 - Count 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

### 6.25.1.1. Close Defendant/No Instrument Filed (Not in Court)

Figure 6-73. 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.

### 6.25.1.2. Close Defendant/Instruments/Counts (In Court)

Call up the Count Disposition/Sentence/Restitution screen as shown in Figure 6-60 below.

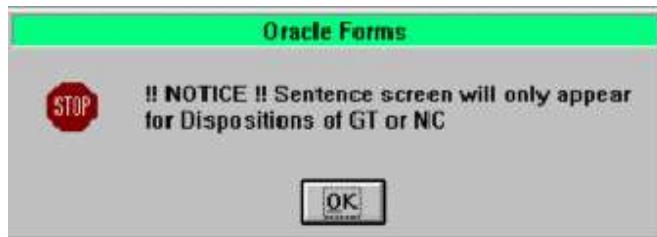
**Figure 6-74: Count Disposition/Sentence/Restitution**

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 (shown in Figure 6-75) alerting you that the Sentence screen will only appear for dispositions of GT or NC.



**Figure 6-75: Sentence Screen Message**

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 6-76 below.)

If Disposition is **GT** (Guilty) or **NC** (Nolo Contendere), press to go to the **SENTENCE** block shown in Figure 6-76.

**Figure 6-76: Sentence Block**

**Sentence Date** - Enter the date as noted on the Judgment and Commitment Order (J&C).

**Debarred** – Press **F9** and select **Y** (Yes) or **N** (No).

**Collection Ind** (Collection Indicator) – Press **F9** and select **Y** (Yes) or **N** (No).

**Guidelines Departure** – Press **F9** and select the code from the list of values if there is a departure guideline.

**Marshal #** - Enter the number assigned to the case by the Marshal, if applicable. This field is required if **Vic/Wit** is **Y** (Yes).

**Incarceration Type** – Press **F9** and select the code for the type of incarceration, if applicable.

**Judge** – This field defaults to the initials of the Judge Enter the initials for the Judge who issued the J&C. (LOV)

**Incarceration Days, Months, Years** - Enter the length of the Defendant's incarceration, if applicable.

**Probation Days, Months, Years** - Enter the length of probation, if applicable.

**Probation Revoked?** - Enter **Y** (Yes) if defendant's probation has been revoked. Otherwise, enter **N** (No).

**Special Condition** – Press **F9** and select a code for any special conditions of probation.

**Supervised Release Days, Months, Years** - Enter the length of time the Defendant will be on supervised release, if applicable.

**Life** – Click in the checkbox if Lifetime Supervised Release is required.

**SR Revoked (Supervised Release Revoked)?** - Enter **Y** (Yes) if defendant's supervised release has been revoked. Otherwise, enter **N** (No).

**Revoked Days, Months, Years** - Enter the amount of time revoked.

**Comm Svc Hours (Community Service Hours)** – Enter the number hours the defendant must perform community service, if applicable.

**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** – Enter the USAOID of a similar case used by the Financial Litigation Unit (FLU).

**Related FLU Seq:** - Enter the sequence code assigned to the related FLU USAO Number.

**Armed Career Offenders** – Enter **Y** (Yes) if the defendant has been convicted as an Armed Career Offender. Otherwise enter **N** (No). To see a definition of Armed Career Offender press the  following the checkbox.

**Life Sentence imposed as a result of Three Strikes Notice** - Enter **Y** (Yes) if a life sentence has been imposed as a result of a Three Strikes Notice. Otherwise enter **N** (No). To see a definition of Three Strikes Notice press the  following the checkbox.

If a life sentence is imposed that is NOT a result of a Three Strikes Notice, enter a comment in the SENTENCE COMMENTS block about why the defendant was sentenced to life.

If the J&C indicates a restitution amount, press **CONTROL + PAGE DOWN** to the Restitution screen shown in Figure 6-77.

DEFENDANTS		Role	Type	Last Name, First Name	DFStatus	Start Date	End Date	READ ONLY
D	I	Pollard, Robert	BO	20-DEC-2007				
D	I	Smith, Mary						

Victim	Type	Recipient	Amount	Liability	
Jones, Jane	O	Ordered	I Individual	1,000,000.00	
Rural Development Agency	O	Ordered	G Government	500,000.00	J

**Copy to Another Defendant**      **Amount Total:** 1,500,000.00

**SENTENCE COMMENTS**

**Figure 6-77: Restitution**

**Victim** - Press **F9** and select from the list of victims or, or begin typing the victim's last name.

**Type** – Press **F9** and select the type of restitution.

**Recipient** – Press **F9** and select the type of recipient

**Amount** - Enter the dollar amount of restitution.

**Liability** – Press **F9** and select the code that describes the liability for restitution.

**Amount Total** - System generated sum of all restitution amounts.

**CONTROL + PAGE DOWN** to the **SENTENCE COMMENTS** block.

**Comments** – This is a non-code field. It should be noted that the comment in this form relates to the Defendant, not the Victim. Enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To expand the comment screen, press **ALT + E** and select **Edit** from the menu.

The screenshot shows the LIONS - COURT HISTORY application window. At the top, there's a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu is a toolbar with icons for file operations like Open, Save, Print, and Help.

The main area displays two tables:

- COURT HISTORY:** A grid showing case details. One row is highlighted with a blue background, showing USAOID: 2007R00712, Caption: U.S. vs Robert Pollard, and Status: A. The 'Total Trial Days for Case' field is set to 0.
- COURT/PARTICIPANTS:** A grid showing participants. It includes columns for Role (D, C, E, V), Last Name, First Name, City Status, Country, DI, Reason, and Date. The data includes entries for Pollard, Robert, Smith, John, Jones, Jane, and Smith, Mary.

At the bottom of the window, a date field shows WED, 26-DEC-2007, and there are navigation buttons.

Figure 6-78: Closed Defendants

### 6.25.2. Closing the Criminal Matter or Case

Select Criminal, Close Cases, Close Case from the LIONS Main Menu.

Enter the USAOID of the case to be closed and press F8.

The Close a Case form for the requested case opens as shown in Figure 6-79. The Close a Case form 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 for the file or to mark the file for permanent retention.

The screenshot shows the LIONS - CLOSE A CASE application window. At the top, there's a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu is a toolbar with icons for file operations like Open, Save, Print, and Help.

The main area displays several sections of information:

- CASE:** Shows Recvd Date: 16-AUG-2006, Status: C Completed, Destruct Date: 22-SEP-2017; Close Date: 25-SEP-2007, Perm: N, Collect Ind: N No.
- LAST COURT STAGE (READ ONLY):** Shows Court: NC Not in Court, Judge: [empty], Trial Days: [empty]; Disposition: DE Declined (matters only), Disp Date: 20-SEP-2007; Disp Reason: OFPO Office Policy (fails to meet pros).
- ASSIGNMENT:** Shows Lead AUSA: RUGO.
- RECORDS DISPOSITION:** A grid showing disposition counts for various categories. All rows show 'Completed' status and count 0.
- Buttons:** On the right side, there are buttons for Defendant Status, Add Event, and Add Misc #.
- Date:** At the bottom left, it shows TUE, 05-MAY-2009.

Figure 6-79: Close a Case

### 6.25.2.1. Case

**Recv Date** – Defaults to the date the criminal action was opened in LIONS.

**Status** – Defaults to **A** (Active). Status will change to **C** (Completed) automatically when all steps have been completed to close the case.

**Destruct Date** – Calculates when the status updates to **C** (Completed).

**Close Date** – The close date of record.

**Perm** (Permanent) - Enter **Y** (Yes) to designate records as Permanent. Otherwise, enter **N** (No). Files are designated as permanent if:

The case has an impact on a statute, rule, regulation, or law enforcement policy (set a precedent).

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** (Collection Indicator) – Press **F9** and select **Y** (Yes) if the file will be referred to the Financial Litigation Unit. Select **R** (Referred to Agency) if the file is being returned to the agency for post-disposition collection activities. Otherwise, enter **N** (No).

### 6.25.2.2. Last Court Stage (Read Only)

This block reflects information entered into the last Court History Record.

### 6.25.2.3. Assignment (Read Only)

This block displays the Lead AUSA for the last Court History Record.

### 6.25.2.4. Records Disposition

This block displays the status and number of each type of record. It references **Court/Participants**, **Count Disposition**, **Sentence**, and **Appeal** records.

If the record Status is **Completed**, no action is required. If the Status is Incomplete, the records must be closed before the case can be closed.

**Court/Participants** (Not in Court) - The number in the Record(s) field indicates the number of Participants Not in Court that need to be closed. See *Section 6.30.1.1*.

**Count Dispositions** - The number in the Record(s) field indicates the number of counts that need to be closed. See *Section 6.30.1.2*.

**Sentence Dispositions** - The number of Record(s) field indicates the number of sentence records that need to be closed. See *Section 6.30.1.2*.

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

When all records have a Status of Completed, press **F10** to commit the record. As shown in Figure 6-80, the Status field is now C (Completed) and Destruct Date has been automatically calculated by LIONS and the close date is populated with today's date.

**LIONS - CLOSE A CASE - [gnclose:1.19]**

Action Edit Record Query Window Help

USAOID:	2007R00712	Caption:	U.S. vs Robert Pollard		
<b>CASE</b>		Status:	C	Completed	
Recvd Date:	01-JUN-2007	Destruct Date:	23-DEC-2017		
Close Date:	26-DEC-2007	Perm:	N	Collect Ind:	N No
<b>LAST COURT STAGE (READ ONLY)</b>					
Court:	DC	District Court	Court #:	1234	
Judge:	BIF	FOX ,BRUCE I.	Trial Days:		
Disposition:	GT	Guilty	Disp Date:	26-DEC-2007	
Disp Reason:	BTRD	Bench Trial Verdict (District Co			
<b>ASSIGNMENT</b>					
Lead AUSA:	AFG	Givhan, Annetta Foster			
<b>RECORDS DISPOSITION</b>					
Status	Record(s) to be Disposed				
Completed	0	Participants without Instrument Charges			
Completed	0	Count Dispositions			
Completed	0	Sentence Dispositions			
Completed	0	Firearms/Triggerlock Defendants			
Completed	0	Appeals			
WED, 26-DEC-2007					

Figure 6-80: Closed Criminal Case

## 7.0 VICTIM/WITNESS INFORMATION

This module is no longer in LIONS. Victim notification is handled by the Victim Notification System (VNS). Data is captured from LIONS, and automatically transmitted to the VNS on a nightly basis.

The link to access the VNS webpage is as follows: <http://usanet.usa.doj.gov/staffs/vns/index.cfm>.

## 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 the state or federal Supreme Court. 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 of administrative decisions to the District Court (Social Security Disability Appeals<sup>2</sup>, and “appeals” to the District Court from Bankruptcy Court and Magistrate Court)<sup>3</sup> are not considered appeals in this context.

Notify the Financial Litigation Unit (FLU) of the appeal if a debt is pending so appropriate action can be taken.

### 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.

Select **Criminal, Appeals** or **Civil, Appeals** from the LIONS Main Menu as shown in Figure 8-1 or press **A**.

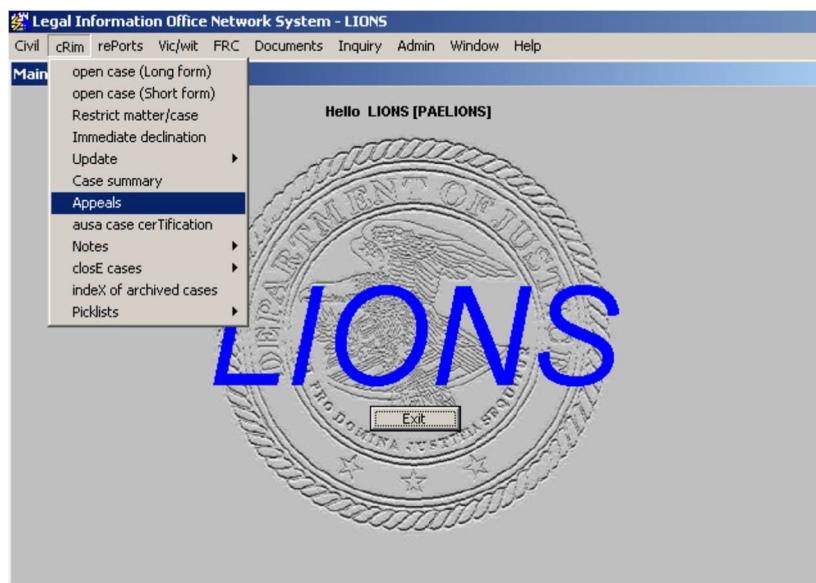


Figure 8-1: Criminal Appeals

Enter the **USAOID** for the case to which the Appeal will be attached and press **F8**.

2 For Social Security appeals, see U.S. Attorneys Procedures, Civil Policy Section.

3 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.

The Appeals form for the requested case will open as shown in Figure 8-2.

**Figure 8-2: 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** – Press **F9** and select the code for the Court or enter:

**CA** (United States Court of Appeals).

**ST** (State Court).

**SC** (United States Supreme Court).

Enter the court location, if applicable. Location codes are established by the district.

**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 to the appeal by the appellate court. A court number is required if there is a Docket Date.

**US Role** – Press **F9** or enter a code for the US Role in the Appeal. If the US filed the appeal enter **AN** (Appellant). Otherwise, enter **AE** (Appellee) or **A** (Amicus).

**Appeal Type** – Press **F9** or enter **A** (Appeal From Final Judgment) or **I** (Interlocutory Appeal).

**Lead AUSA** - Press **F9** or enter the staff member responsible for the appeal.

**Start Date** – This field defaults to the current date. If this is incorrect, enter the date the AUSA or staff member was assigned to the appeal case.

**Sent Appeal** (Sentence Appeal) – Press **F9** and select **Y (Yes)** if the appellant is appealing all or part of a criminal sentence. Otherwise, select **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 8-3, 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 8-3: Appeals**

**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 8-4, 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.

The pop-up shown in Figure 8-4 will open.



**Figure 8-4: Cross Appeal Pop-up**

**Appeal Disposition Date** - Enter Appeal Disposition date.

**Disposition Reason:** Press **F9** or enter code for disposition reason.

**Mandate Filed** – Enter date the mandate was filed.

**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.

When you have completed entering the Appeal information, press **CONTROL + PAGE DOWN** to attach participants to the appeal, as shown in Figure 8-5.

### 8.2.1. Participant/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).

**Figure 8-5: Participant/Appeal**

#### 8.2.1.1. Lower Court (Read Only)

The fields in this block are pre-populated with information from the lower court records.

When you have completed attaching participants, press **CTRL + PAGE DOWN** or click display button to enter assignments (see Figure 8-6).

#### 8.2.1.2. Assignments

ASSIGNMENTS					
Inits	Name	Position	Start Date	End Date	
AJ		L	09-AUG-2006		

**Figure 8-6: Assignments Block**

**Inits** (Initials) - Press **F9** or enter the code for the staff member assigned to the appeal. The codes for this field are established by your district.

**Position** - LIONS will default the first entry to **L** (Lead). You are only allowed one open Lead.

**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 display button to enter opposing counsel information.

### 8.2.2. Opposing Counsel

Additional opposing counsel names can be added. If opposing counsel was entered at the lower court level, this information displays in the Opposing Counsel block as shown in Figure 8-7.

The screenshot shows the LIONS - APPEALS application window. At the top, there's a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu is a toolbar with various icons. The main area is divided into sections: 'CASE' (USAOID: 2007R00712, Caption: U.S. vs Robert Pollard, Status: A), 'APPEAL' (NOAP Date: 27-DEC-2007, Court/Loc: CA, COURT OF APPEALS; Docket Date: 27-DEC-2007, Court Number: 123; US Role: AE, APPEAL FILED; Appeal Type: A, APPEAL FROM FINAL JUDGMENT; Lead AUSA: AB, BROWN, ALTHEA; Start Date: 27-DEC-2007; Sent Appeal: Y; Consolidated Appeal: Y; Cross Appeal: Y; Appeal Disp Date: [empty]; Disposition: [empty]; Mandate Filed: [empty]; Disposition Reason: [empty]; Generate Initial Events button). Below the appeal section is the 'OPPOSING COUNSEL' section, which includes a 'For:' field containing 'Smith, Mary' and a table with columns: Initials, Last Name, First Name, Type, Start Date, and End Date. The table contains one row with data: SHIRKR, SHIRK, ROY D., RE, 27-DEC-2007, and an empty End Date field. At the bottom left is a date field showing THU, 27-DEC-2007, and at the bottom right are navigation arrows.

**Figure 8-7: Opposing Counsel**

**Initials** – Press **F9** and select the initials of the Opposing Counsel representing the participant. Last Name and First name will be filled in based on the initials selected.

**Type** – Press **F9** and select a code that describes the type of counsel.

**Start Date** - LIONS defaults to the current date. If this is incorrect, enter the date the Opposing Counsel became involved in the appeal. Start Date is required if initials are entered

**End Date** – This field is used to close Opposing Counsel.

Repeat for each Opposing Counsel representing the selected Participant on Appeal.

When you have completed entering Opposing Counsel information, press **CONTROL + PAGE DOWN** or click on to go to the **COURT/JUDGES** block as shown in Figure 8-8.

### 8.2.3. Court/Judges

At local option, you can track the judges hearing an appeal.

**Figure 8-8: Court/Judges**

**Inits** – Press **F9** and 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 defaults to the current date; however, it can be changed.

**End Date** – Use this field to record the date the judge's involvement in the appeal ended.

**Decision** – Press **F9** and enter the judge's decision; e.g., **FMD** (Affirmed).

When you have completed entering Judge information, press **CONTROL + PAGE DOWN** or click to go to the **EVENT** block, as shown in Figure 8-9.

### 8.2.4. 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.

**LIONS - APPEALS - [gnappeal:1.17]**

Action Edit Record Query Window Help

<b>CASE</b>					
USAOID: 2007R00712 Caption: U.S. vs Robert Pollard Status: A					
<b>APPEAL</b>					
NOAP Date: 27-DEC-2007 Court/Loc: CA COURT OF APPEALS					
Docket Date: 27-DEC-2007 Court Number: 123					
US Role: AE APPEAL FILED Appeal Type: A APPEAL FROM FINAL JUDGMENT					
Lead USA: AB BROWN, ALTHEA Start Date: 27-DEC-2007					
Sent Appeal: Y Consolidated Appeal: <input checked="" type="checkbox"/> Cross Appeal: <input checked="" type="checkbox"/>					
Appeal Disp Date: Disposition:					
Mandate Filed:					
Disposition Reason: <input type="button" value="Generate Initial Events"/>					
<b>EVENT</b>					
Event	Action	Event Date	Date Scheduled	Time Scheduled	Staff Initials
OBRO	Opening Brief (Oppo)	FI	27-DEC-2007		AB
RBRO	Reply Brief (Opposi)				AKL1
ABRG	Answering Brief (Go)				AB
<input type="button" value="&lt;"/> <input type="button" value="&gt;"/>					
THU, 27-DEC-2007					

**Figure 8-9: Event**

After entering event information and attaching the applicable participants to the events, press **CONTROL + PAGE DOWN** or click  to attach participants to events, as shown in Figure 8-10.

**LIONS - APPEALS - [gnappeal:1.17]**

Action Edit Record Query Window Help

<b>CASE</b>					
USAOID: 2007R00712 Caption: U.S. vs Robert Pollard Status: A					
<b>APPEAL</b>					
NOAP Date: 27-DEC-2007 Court/Loc: CA COURT OF APPEALS					
Docket Date: 27-DEC-2007 Court Number: 123					
US Role: AE APPEAL FILED Appeal Type: A APPEAL FROM FINAL JUDGMENT					
Lead USA: AB BROWN, ALTHEA Start Date: 27-DEC-2007					
Sent Appeal: Y Consolidated Appeal: <input checked="" type="checkbox"/> Cross Appeal: <input checked="" type="checkbox"/>					
Appeal Disp Date: Disposition:					
Mandate Filed:					
Disposition Reason:					
<b>PART/EVENT</b>					
Event	Action	Event Date	Date Sched	Time Sched	Staff
OBRO	Opening Brief (Oppo)	FI	27-DEC-2007		AB
Last Name, First Name <input type="button" value="Role"/>					
Smith, John <input checked="" type="checkbox"/> AN					
<input type="button" value="&lt;"/> <input type="button" value="&gt;"/>					

**Figure 8-10: Participant/Event**

## 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.

### 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 Appeal Records

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.)

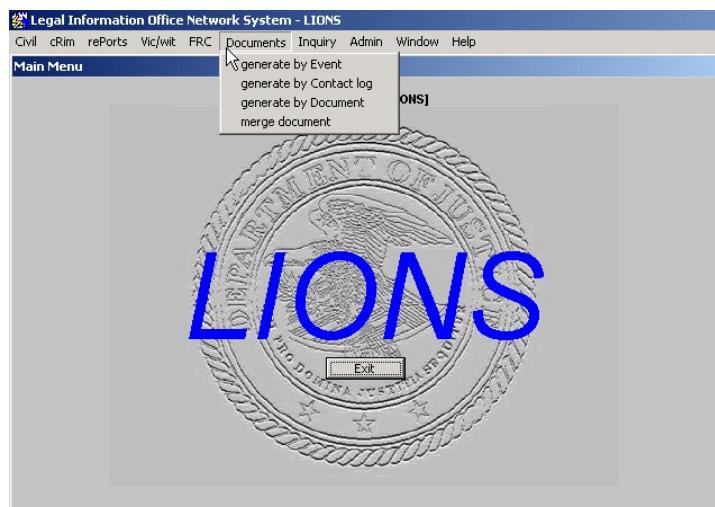
The standard documents initially provided are Victim/Witness letters and notices. These documents can be used as they are or they can be customized for your office. This chapter will discuss the three ways documents can be generated and how to customize the standard letters for your office.

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.

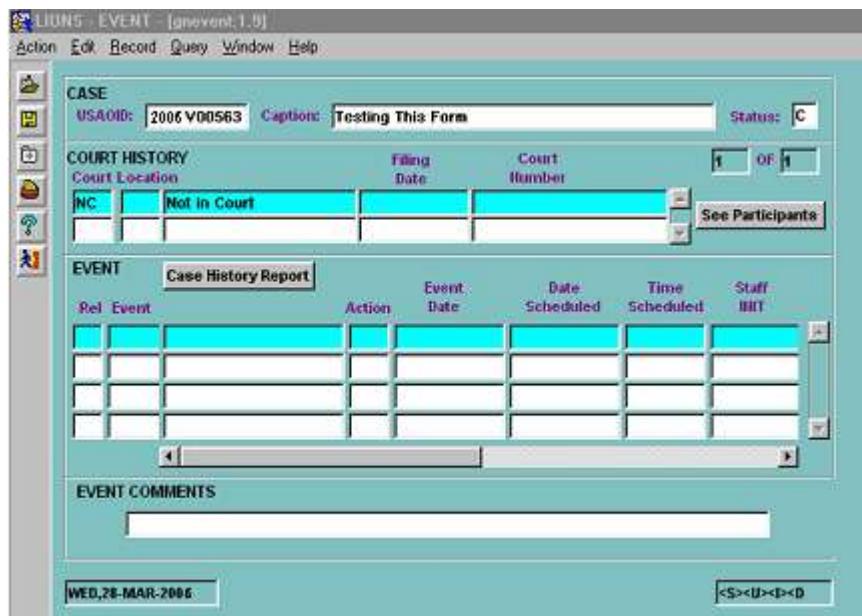


Figure 9-2: Event Screen 1

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.

The screenshot shows the LIONS - EVENT [lnevent.1.9] application window. At the top, there's a menu bar with Action, Edit, Record, Query, Window, and Help. Below the menu is a toolbar with various icons. The main area is divided into two sections: 'COURT HISTORY' and 'EVENT'. In the 'COURT HISTORY' section, there's a table with columns for Court Location, Filing Date, and Court Number, showing one entry: 'INC.' and 'Not in Court'. A 'See Participants' button is next to it. In the 'EVENT' section, there's a table with columns for Rel Event, Staff Last Name, Doc #, Doc Staff Initials, Doc Date, Location Scheduled, Judge Initials, and Judge Last Name. One row is visible: 'APPL' and 'Henkerson' in the Staff Last Name column, 'S35' in Doc #, 'LIONS' in Doc Staff Initials, '28-MAR-2001' in Doc Date, and 'CC' and 'Coones' in the Judge columns. At the bottom of the screen, there's a date field showing 'WED, 28-MAR-2001' and a status message field showing '<S><U><D><D>'.

**Figure 9-3: Event Screen 2**

The following fields are used in Document Generation:

- **Doc #** - Enter the code for the document you wish to print. (LOV)
- **Document Staff Initials** - LIONS will automatically default the Document Staff Initials to the user who is logged on.

For security reasons, the Document Staff Initials cannot be changed. The user who enters the event must print the document.

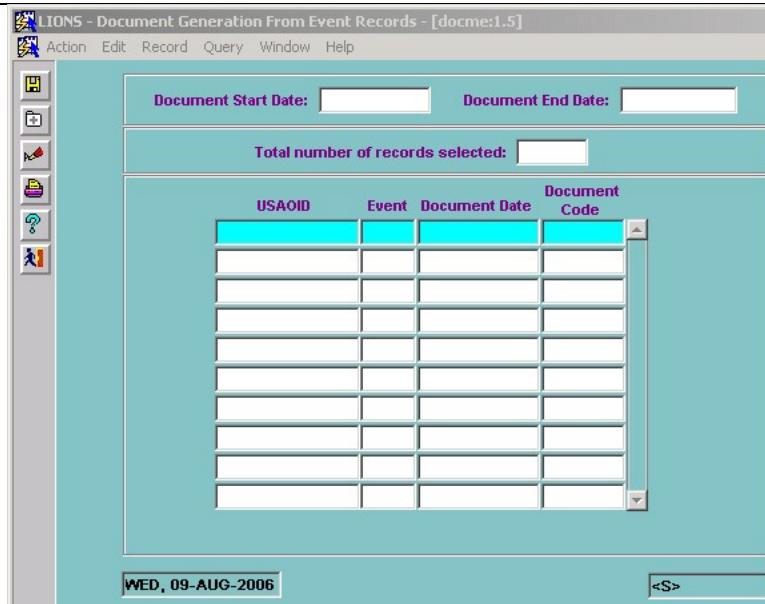
- **Document Date** - Enter the date the document will be printed. This date defaults to today's date, but can be changed. It is used for the date range of document dates in Document Generation. If you enter a date other than today, keep a record of this date for use when you generate your documents.

If the document refers to a Judge and hearing location, enter this information in the appropriate fields.

- **Participant/Events** - It is critical that you attach the defendant(s) to the event that the document will be referencing. If you fail to make this attachment, the document will print without the defendant's name. If you attach more than one defendant to the event, a document will be printed separately for each defendant. In other words, if there are three victims in the case, and you attach two defendants to the event, a total of six letters will be printed; i.e., each victim will receive two letters.

### 9.3.1. Generating Documents by Event

To generate documents by event, select the Documents option off the LIONS Main Menu, and the Generate by Event option. The Document Generation from Event Records screen displays as shown in Figure 9-4 below.



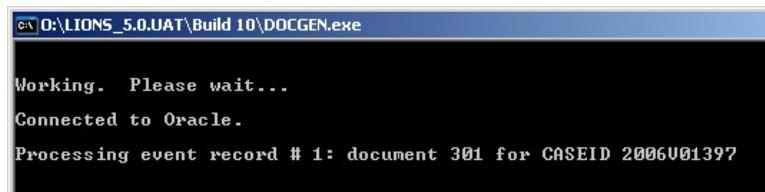
**Figure 9-4: Document Generation from Event Records**

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.

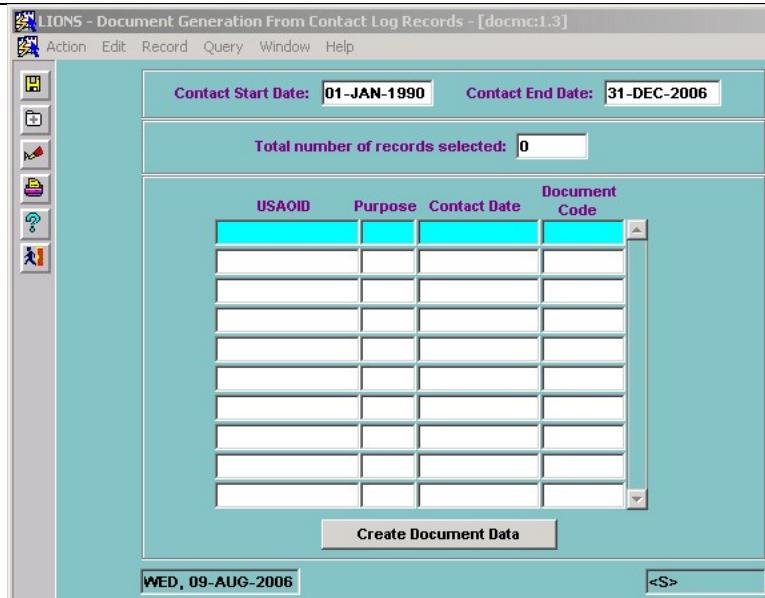
**Figure 9-6: Contact Log**

- **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.

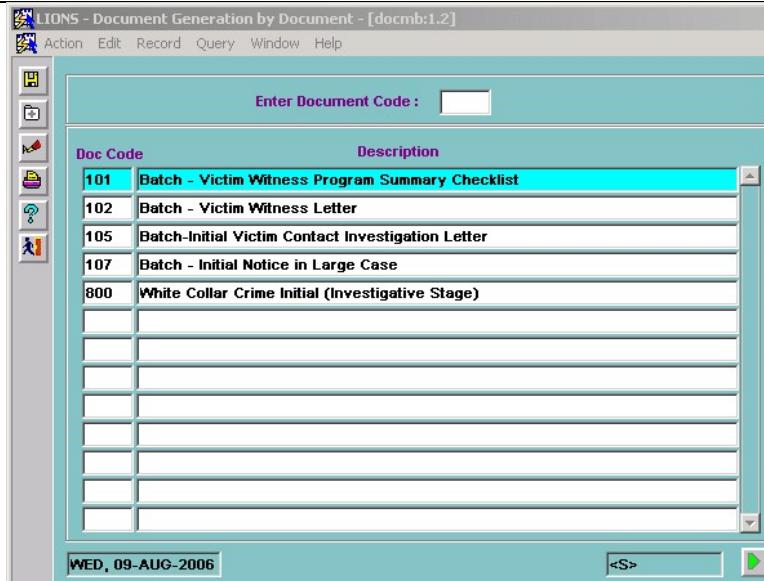
If you receive any errors that the merge process was not successful, contact your System Manager for assistance.

## 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.

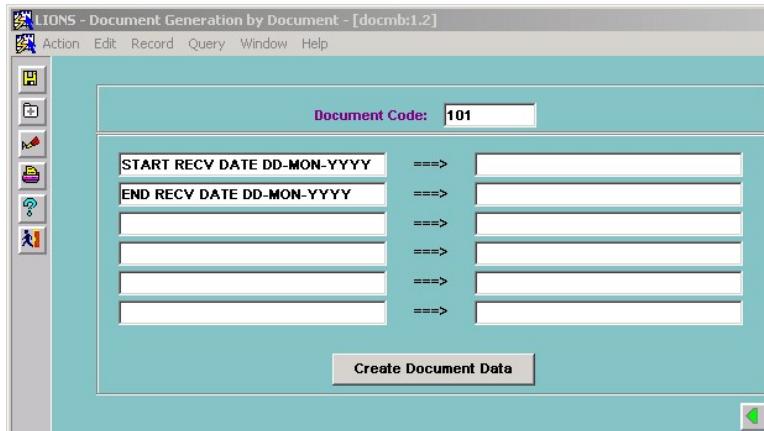
When a batch document is requested, a separate notice or letter will be printed for each defendant to each victim or witness in the case. In other words, if there are three victims and three defendants in the case, each victim will receive three letters/notices; a total of nine letters/notices would 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.

## 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 contains 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 **United States Attorneys' Manual 3-13.310, Comprehensive Retention Schedule, Item 15**).

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. Court Ordered Disposition of Records

### 10.2.1. 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.

## 10.2.2. 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 nonpublic record required by the statutes, and notifying the EOUSA.

## 10.2.3. Update the Criminal File for Non-public Records

Headquarters and branch offices shall identify any records in their possession which pertain to the individual on the court order for dismissal and discharge issued under the Controlled Substances Act, 18 U.S.C. 3607(a) or 21 U.S.C. 844(b)(1). Follow the procedures below to modify LIONS records when the court order is a Non-public Record.

Select Criminal, Update, General Update, Court Order Disposition from the LIONS Main Menu or access Court Ordered Disposition from Case Summary. The Court Ordered Disposition form opens as shown in Figure 10-1.

**Figure 10-1: Court Ordered Disposition Form**

USAOID – Query your record and LIONS will automatically populate the Caption and Status fields.

Participant (Last Name, First Name) – LIONS will query the name of the defendants attached to this record.

Court – Press F9 and select the appropriate court history record to be made non-public by the court order.

Court Number – LIONS will fill in the court number based on the court history record selected.

Last Name, First Name – These two fields will default the defendant's first name, last name from the previous participant block.

Type of Order – Press F9 and select NON for Non-Public – Court Order for dismissal and discharge issued under the Controlled Substances Act, 18 USC 3607(a) or 21 USC 844(b)(1).

Date of Order – Enter the date of the court order.

Save the record after all data has been entered. The completed 'NON' court ordered disposition record is shown in Figure 10-2.

**Figure 10-2: Completed NON Court Ordered Disposition Record**

#### 10.2.4. Update the Criminal File for Sealed Records

Headquarters and branch offices shall identify any records in their possession which pertain to the individual identified on the court order to seal all official records NOT covered by the Controlled Substance Act. Follow the procedures below to modify LIONS records when the court order is a Sealed Record.

Select Criminal, Update, General Update from the LIONS Main Menu or access Court Ordered Disposition from Case Summary.

USAID – Query your record and LIONS will automatically populate the Caption and Status fields.

Participant (Last Name, First Name) – LIONS will query the name of the defendants attached to this record.

Court – Press F9 and select the appropriate court history record to be sealed by the court order.

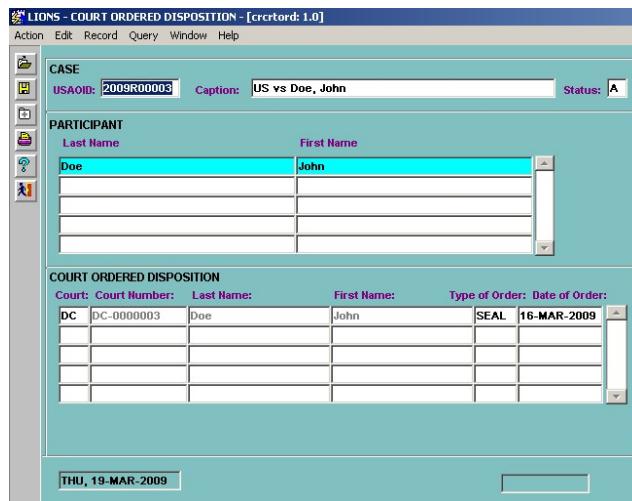
Court Number – LIONS will fill in the court number based on the court history record selected.

Last Name, First Name – These two fields are populated from the last name, first name from the previous participant block.

Type of Order – Press F9 and select Seal for Sealed – Court Order to seal all official records NOT covered by the Controlled Substance Act.

Date of Order – Enter the date of the court order.

Save the record after all data has been entered. The completed 'SEAL' court ordered disposition record is shown in Figure 10-3.



**Figure 10-3: Completed SEAL Court Ordered Disposition Record**

NOTE: This functionality does not replace the procedures to seal defendant's counts in the participant count block for VNS.

### 10.2.5. Update the Criminal File for Expunged (CSA) Records

Headquarters and field offices shall identify any records in their possession which pertain to the individual on the court order to expunge all official records issued under the Controlled Substances Act, 18 USC 3607(c) or 21 USC 844(b)(2). Follow the procedures below to modify LIONS records when the court order is an Expunged (CSA) Record.

Select Criminal, Update, General Update from the LIONS Main Menu or access Court Ordered Disposition from Case Summary.

USAOID – Query your record and LIONS will automatically fill in the Caption and Status fields.

Participant (Last Name, First Name) – LIONS will query the name of the defendants attached to this record.

Court – Press F9 and select the appropriate court history record to be expunged by the court order.

Court Number – LIONS will fill in the court number based on the court history record selected.

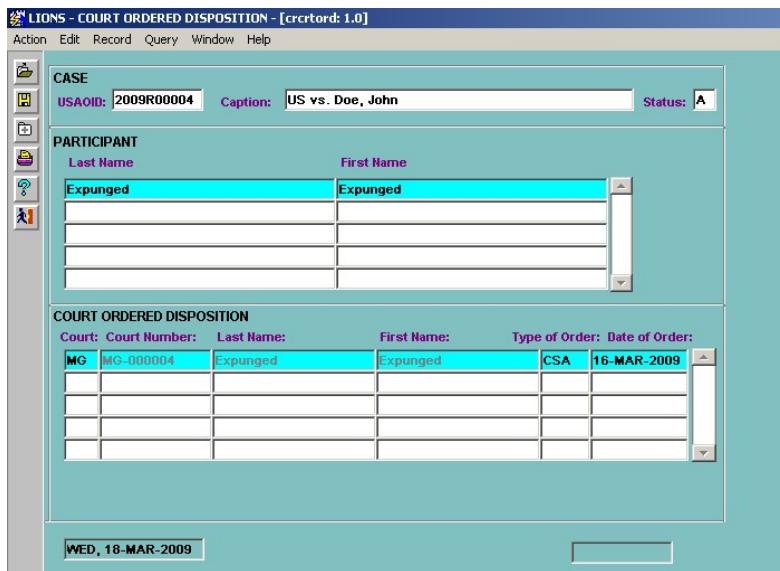
Last Name, First Name – These two fields are populated from the last name, first name from the previous participant block.

Type of Order – Press F9 and select CSA for Expunge (CSA) – Court Order to expunge all official records issued under the Controlled Substances Act, 18 USC 3607(c) or 21 USC 844(b)(2).

Date of Order – Enter the date of the court order.

Save the record after all the data has been entered. Type of order Expunged (CSA) disassociates the original defendant from the case and associates an expunged defendant to the case. The defendant's first name and last name will change to Expunged, Expunged. The completed 'CSA' court ordered disposition record is shown in Figure 10-4.

Users must manually delete the defendant's name and/or personal identifiers from the free-text fields (i.e., Caption, Comment fields).



**Figure 10-4: Completed Expunged (CSA) Record**

#### **10.2.6. Update the Criminal File for Expunged (General) Records**

Headquarters and field offices shall identify any records in their possession which pertain to the individual identified on the court order to expunge all official records issued under the Controlled Substances Act, 18 USC 3607(c) or 21 USC 844(b)(2). Follow the procedures below to modify LIONS records when the court order is a Nonpublic Record.

USAOID – Query your record and LIONS will automatically populate the Caption and Status fields.

Participant (Last Name, First Name) – LIONS will query the name of the defendants attached to this record.

Court – Press F9 and select the appropriate court history record to be expunged by the court order.

Court Number – LIONS will fill in the court number based on the court history record selected.

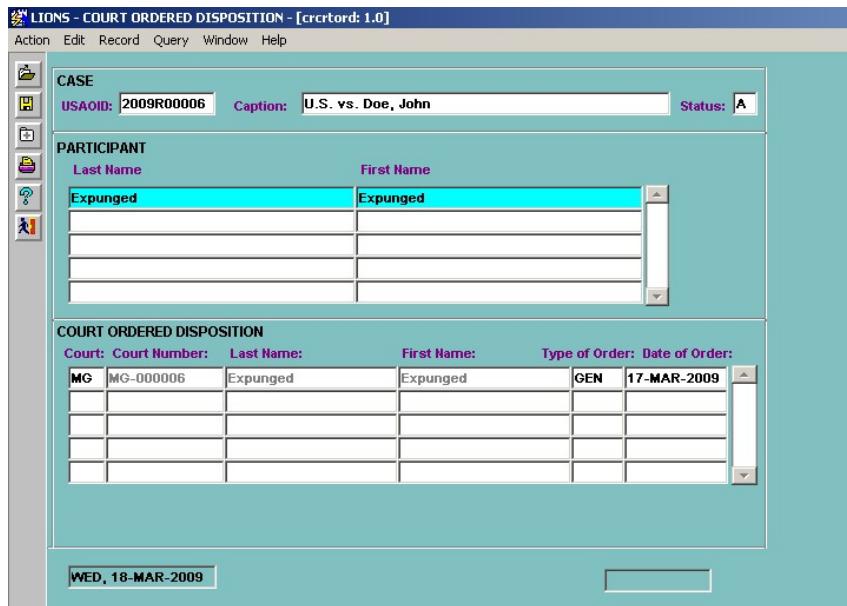
Last Name, First Name – These two fields are populated from the last name, first name from the previous participant block.

Type of Order - Press F9 and select GEN for Expunge (General) – Court Order to expunge all official records NOT covered by the Controlled Substances Act.

Date of Order – Enter the date of the court order.

Save the record after all the data has been entered. Type of order Expunged (General) disassociates the original defendant from the case and associates an expunged defendant to the case. The defendant's first name and last name will change to Expunged, Expunged. The completed 'Gen' court disposition record is shown in Figure 10-5.

Users must manually delete the defendant's name and/or personal identifiers from the free-text fields (i.e., Caption, Comment fields).



**Figure 10-5: Completed Expunged (General) Record**

### 10.3. Physical Location of Closed Files and Local FRC Numbers

LIONS can be used to track the location of physical files in your office, as well as at the Federal Records Center

The Federal Records Center (FRC) module of the LIONS application is designed to assist USAO personnel in preparing files ready for shipment to the FRC. Data entered into this module will result in the following benefits to the USAO:

Generates listing of cases which must be attached to the SF 135 form (Records Transmittal and Receipt).

Maintains an on-line listing of the Accession Number, Accession Location, and Box number for each file sent to the FRC with easy inquiry capabilities.

Provides a worksheet for USAO personnel responsible for shipping records to the FRC.

The Miscellaneous Numbers screen illustrated in Figure 10-6, allows you to track the physical location of files prior to being sent to the Federal Records Center and local FRC numbers.

To access the Miscellaneous Numbers screen, go to the Main LIONS Menu and select either **Criminal** OR **Civil**. From the pull-down menu select **Update**. From the Update menu select **General Update**, and then select **Miscellaneous Number**. Accessing the screen from the Criminal option will give you criminal files; accessing the screen from the Civil option will give you civil files.

CASE				
USAOID	Caption	DCMNS	Physical Location	FRC #

**Figure 10-6: Miscellaneous Numbers Form**

You can enter data for one case or for multiple cases. If you perform a blind query (**F8**) all criminal or civil files in the database will be called up. You can query up a specific case by keying in the USAOID and pressing **F8**; you can also enter a partial USAOID; e.g., **1996R003%** which would give you all criminal files that begin with 1996R003; e.g., 1996R00301, 1996R00302, etc.

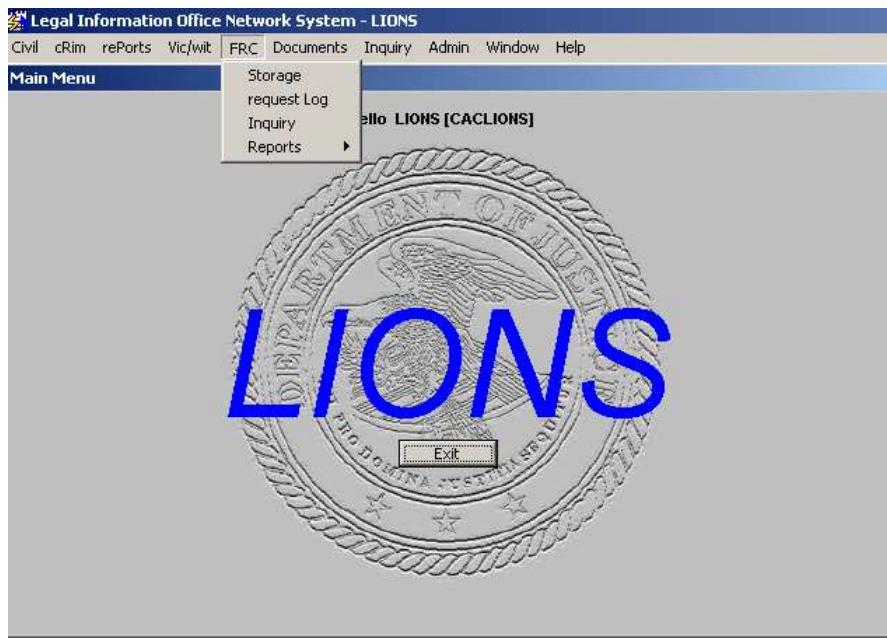
**Physical Location** - You can track the location of files that are stored in the office prior to being sent to the Federal Records Center. Enter the appropriate location; e.g., File Room - 2nd floor. This is a local field with definitions established by your district.

**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 3-13.310**.

To access the FRC module from the LIONS Main Menu, click on the FRC option or press **ALT + F**. The following pull-down menu, as shown in Figure 10-7, displays.



**Figure 10-7: 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 Number - Disp Date - USAO# - Case Destruction Date

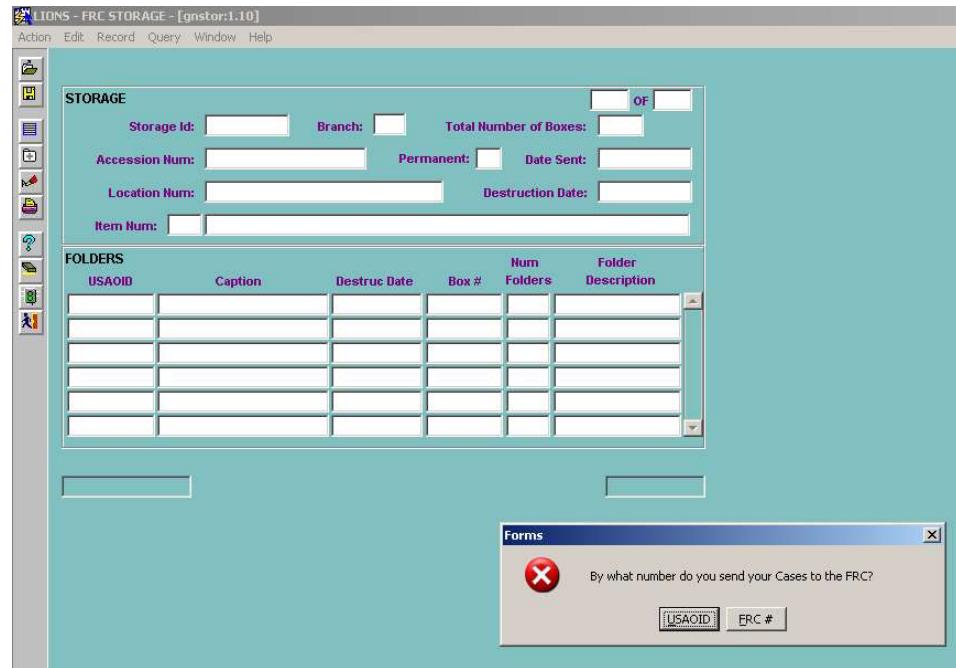
Additionally, it provides spaces to enter the following information by the individual responsible for gathering the files for shipment:

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

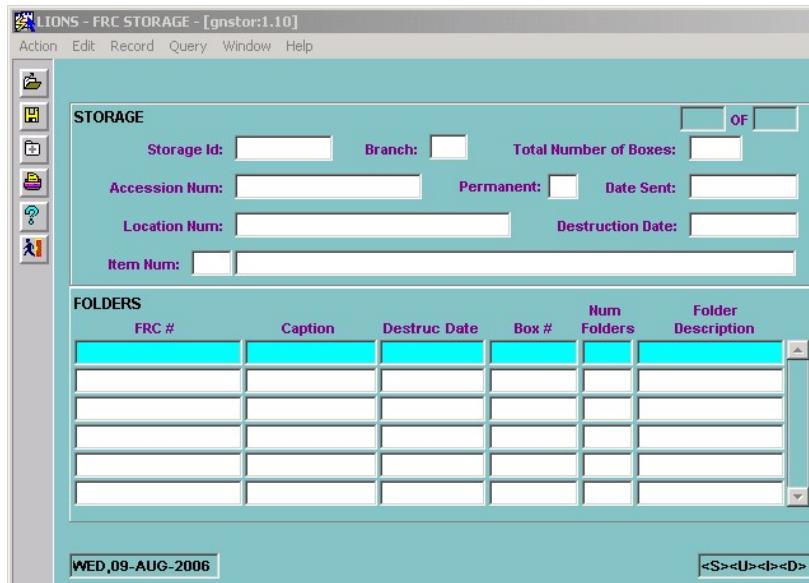
To access the FRC Storage form from the FRC pull-down menu, click on the option called Storage or press **S**. The FRC Storage form screen opens, as shown in Figure 10-8. When the form opens, there is a message asking the user to select which number is used to ship files to the FRC: the system generated USAOID or an office designated FRC number that is assigned to the file after it is closed.



**Figure 10-8: FRC Storage Form with Pop-up Question**

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, as shown in Figure 10-9.



**Figure 10-9: 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 10-10 below.

**Figure 10-10: 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:

**USAID/FRC#** - The number reflected in this column depends on how the user answers the initial prompt. A USAID 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.

**Destruct Date** – Calculates when the status updates to **C** (Completed).

**READ ONLY FIELD.**

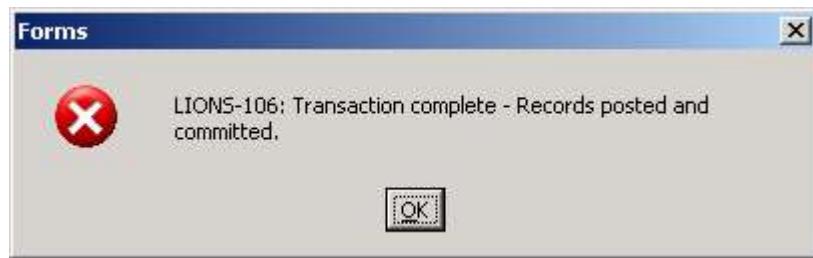
**Box #** - This number defaults to 0001 for all cases initially queried and should be changed. Enter the box number(s) where the case is located. If the case is located in more than one box, enter a range of boxes; e.g., 0001-0010. Numbers should be entered in the following format: NNNN for individual 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 , shown in Figure 10-11, will notify you that your transaction request has been completed and your records have been saved to the database.



**Figure 10-11: 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, as shown in Figure 10-12.

**Figure 10-12:** FRC Request Log

The FRC Request form will initially be in a query mode. To find a log entry, query data in any of the fields on this form. For example, if you want to find out the status of files requested by a particular staff person, press **F7** anywhere in the form, cursor to the **Initials** field, enter the initials of the staff and press **F8**. All log entries made for that staff person will be queried into the form. In addition, the wild card character, "%", can be used in the USAOID, FRC, and Initials fields.

To add a new request log entry, click on the **Exit** icon on the side toolbar and click **OK** to the "query cancelled" message. This will cancel the query and allow a new entry to be made.

Enter the following information for each file requested to be retrieved from the FRC:

**USAOID** - If the file has been shipped to the FRC by LIONS generated USAOID, enter this number. This field is required if the FRC# field has not been entered. You can enter a number for any case sent to the FRC even though it was not originally entered or converted to LIONS, just use the same numbering convention that is used in LIONS: YYYYANNNNN, where A = V for Civil cases, R for Criminal cases and Z for FLU (TALON) related cases.

**FRC#** - Enter the USAO designated FRC# if the record was shipped to the FRC with this number. The same rules apply for entering numbers that were not originally entered or converted to LIONS.

**Initials** - Enter the initials of the USAO staff member requesting the record. (LOV)

**Date Requested** - Enter the date the record was requested from the FRC in format DD-MON-YYYY.

**Date Received** - Enter the date the record was received by the USAO from the FRC in format DD-MON-YYYY.

**Date Returned** - Enter the date the record was returned by the USAO to the FRC in format DD-MON-YYYY.

When the new entry has been made, press the **F10** key to save.

An alternate method to making a new entry would be to query by the fields identified in the steps above (e.g., the Initials field), press **F6** to make a new entry and then follow the instructions above. This is a good way to make sure the new entry you want to make has not been entered before.

## 10.7. FRC Inquiry

To assist USAO personnel in ascertaining information necessary for successfully retrieving files or other records which have been shipped to the FRC, LIONS provides a feature to query these cases. To access the appropriate screen, click on the Inquiry option on the FRC pull-down menu or press **I**. The FRC Inquiry screen shown in Figure 10-13 displays.

**Figure 10-13: 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 designed 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.

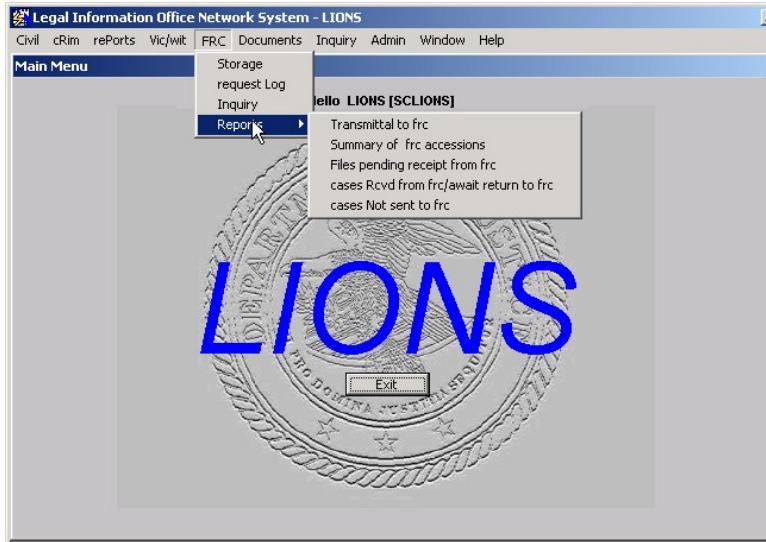
**Destruction Date** - The Accession destruction date.

**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, as shown in Figure 10-14, displays.



**Figure 10-14: 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

LIONS is used to generate reports to assist United States Attorneys and the Executive Office for the United States Attorneys (EOUSA). These reports:

Allow districts to create caseload calendars for individual employees, as well as units in the office.

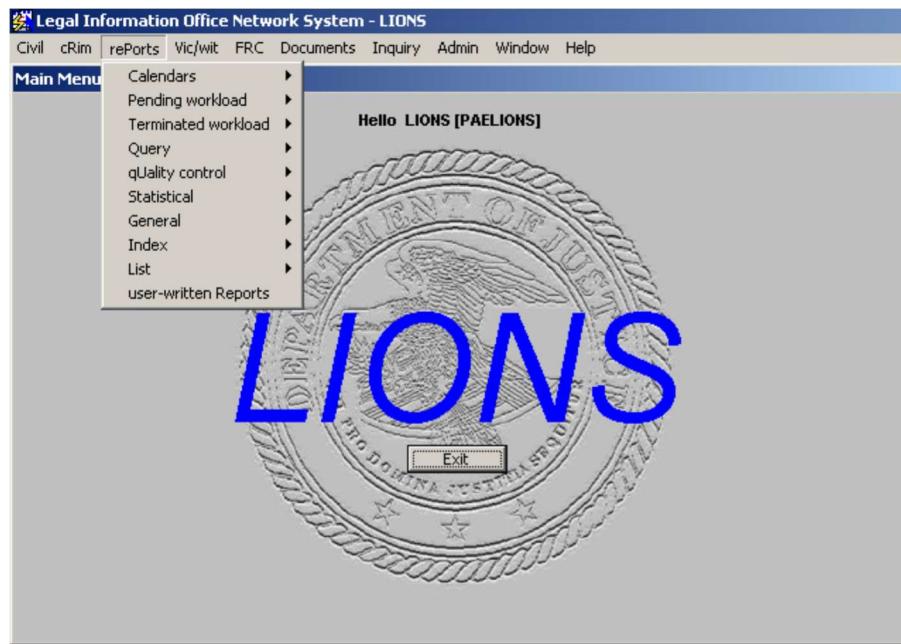
Allow the United States Attorney and other supervisors to monitor the office's workload, to make case assignments, and to respond to ad hoc inquiries from the Department or local community.

Allow 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.

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

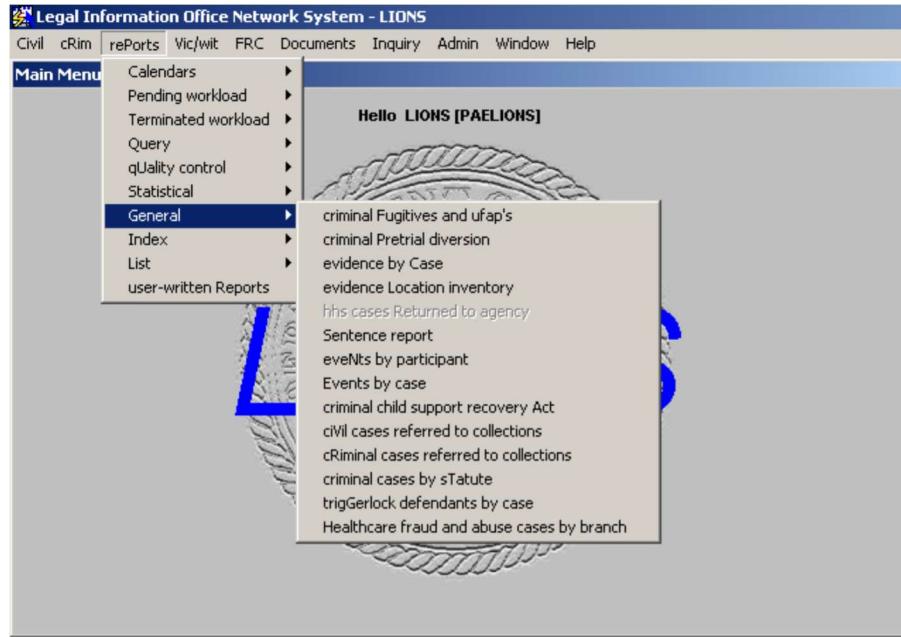
Provide data used to formulate budget estimates, to justify budget requests, and to allocate resources, including personnel, among the various districts.

Select **Reports** from the LIONS Main Menu or press **ALT + P**. As shown in Figure 11-1, a menu of report types displays.



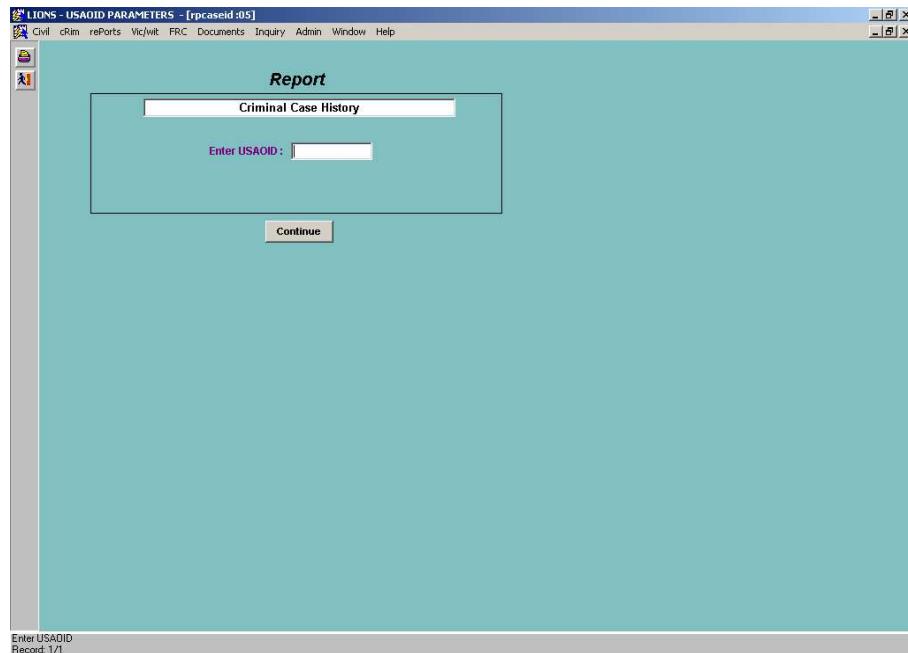
**Figure 11-1: Reports**

Each Report menu provides further options for printing the generated reports as shown in the example in Figure 11-2.

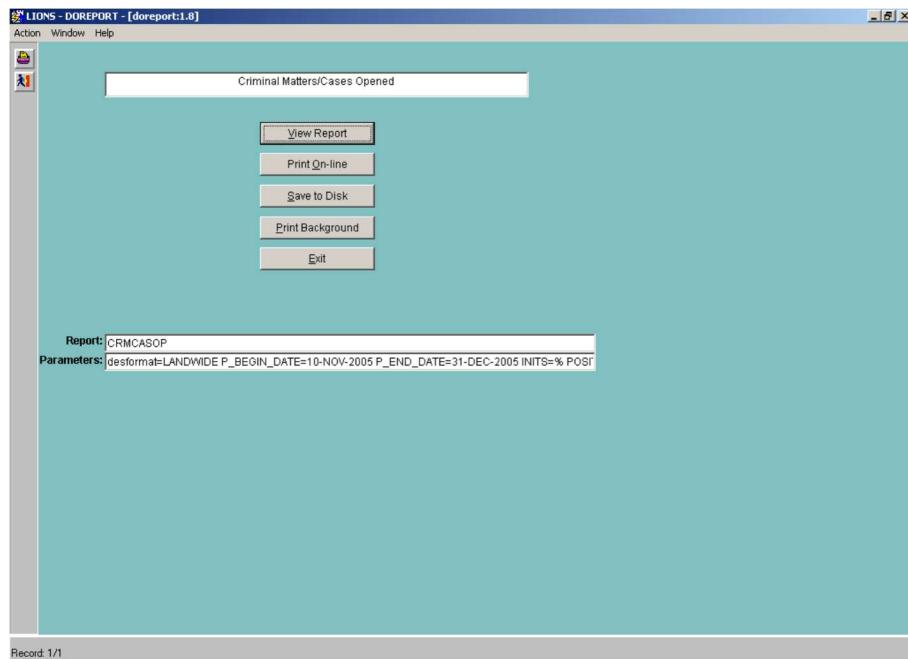


**Figure 11-2: Sample Report Options**

After selecting a Report type, the user must enter parameters in a screen similar to the one shown in Figure 11-3.

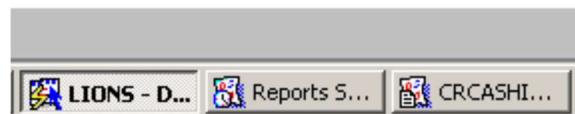


**Figure 11-3: Report Parameters**



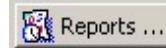
**Figure 11-4: DOREPORT**

When the user presses the appropriate buttons on the parameters screen, two buttons are added to the bottom of the screen as shown in Figure 11-5, the Report Server button and a button identifying the type of report requested.

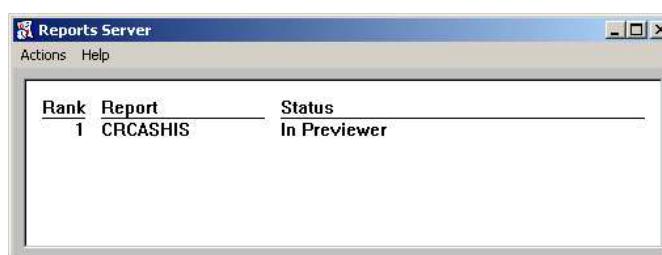


**Figure 11-5: Report Server/Report View Buttons**

Reports run off of a centralized server. To view the status of reports in the server queue, click on



. The Reports Server screen shown in Figure 11-6 will open.



**Figure 11-6: Report Server Screen**

Because reports are run off of a centralized server, there is a 30-minute delay in retrieving information.



Click on **CRCASHIS: Previewer** to preview the generated report, in this case a Criminal Case History Report as shown in Figure 11-7.

CRIMINAL CASE HISTORY REPORT						
USAO No: 2007R01217						
RUN DATE:	26-NOV-2007	LEAD CHARGE:	03T:01102	PENDING DEFENDANTS:	4	OFFENSE DATE TO:
RUN TIME:	10:54 AM	RECEIVED DATE:	08-NOV-2007			
<b>GENERAL INFORMATION</b>						
USAO NO:	2007R01217	CAPTION:	John Smith vs HUD			
DCMNS#:		SECURITY:	L			
LIT RESPONSIBILITY:	Case Handled Exclusively by U.S. Attorney					
DOJ DIVISION:	Crim 34567256	BRANCH:	Eastern Pennsylvania			
PROGRAM CATEGORY:	020 Organized Crime - Traditional Organ					
AGENCY:	AGRI All Other Agriculture					
AGENCY ROLE:	I	AGENCY FILE NO:	87895258			
<b>CASE COMMENTS:</b>						
<b>COURT AND DEFENDANT INFORMATION</b>						
CT COURT. NO.	FILING. DATE	DISP	REASON	DISP. DATE..	JUDGE..	
NC	NW	INDT		08-NOV-2007		
DEFENDANT	.....	SEAL IN	EILING. DATE	CHARGE.	....	
John Jones						
CT COURT. NO.	FILING. DATE	DISP	REASON	DISP. DATE..	JUDGE..	
DC 12345	08-NOV-2007				KAUFFMÄ	
DEFENDANT	.....	SEAL IN	EILING. DATE	CHARGE.	GREEN	
123 Oak Street						
ABC Co						
Joe Williams		I F	08-NOV-2007	03T:01102		
John Jones		N	CC 09-NOV-2007	13 : 00224		
		I F	08-NOV-2007	03T:01102		

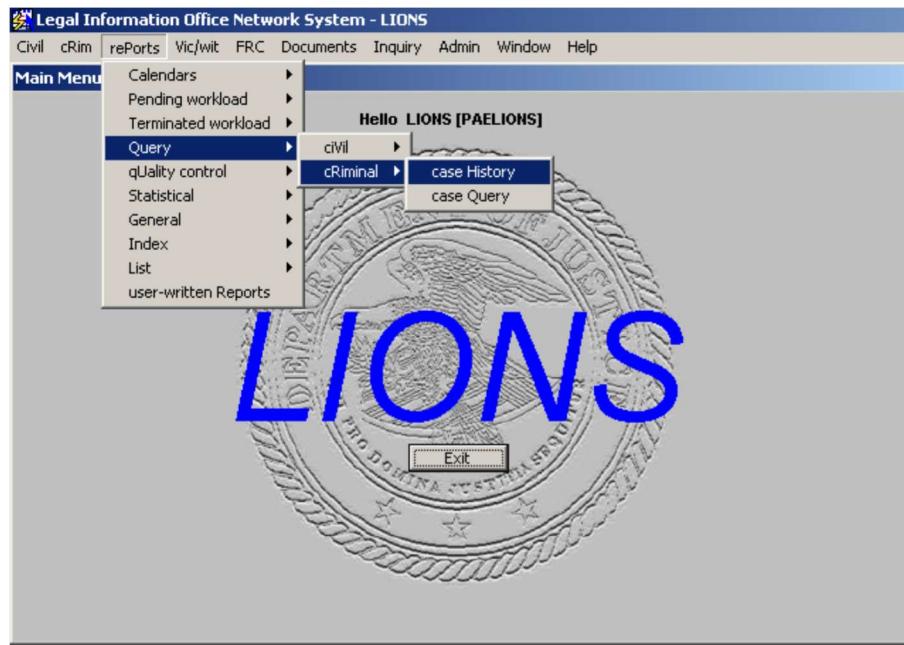
**Figure 11-7: Typical Criminal Case History Report**

There are far too many reports to discuss each one individually. However, a number of commonly used options for Query and Quality Control Reports are addressed in the sections that follow.

## 11.1. Query Report

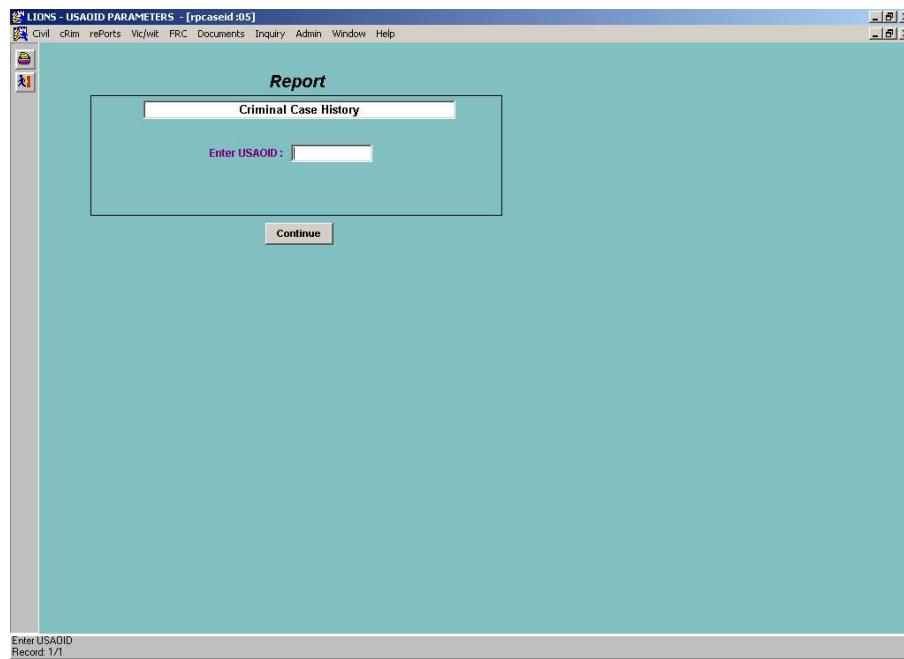
A Query Report can be generated for Civil or Criminal cases on all the specific case information (Case Query or the Case History). Following are procedures for accessing and printing a Criminal Case History Report. The procedures for accessing and/or printing Civil and Criminal reports are the same.

Select **Reports, Query, Criminal, Case History** from the LIONS Main Menu, as shown in Figure 11-8.



**Figure 11-8: Reports, Query, Criminal, Case History**

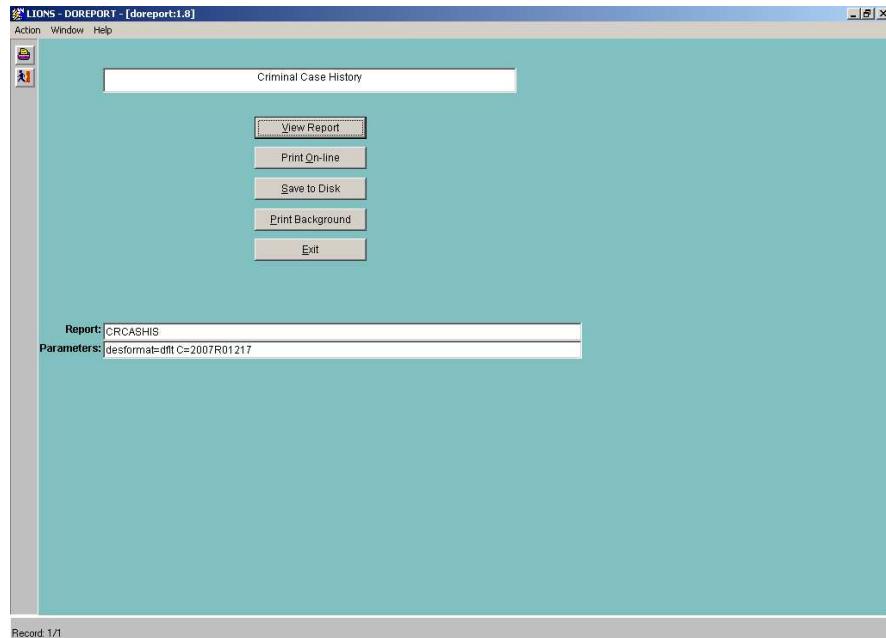
The **USAOID PARAMETERS** screen, shown in Figure 11-9, will display.



**Figure 11-9: Criminal Case History Report Parameters**

Enter the USAOID for the case and press **Continue**.

The **DOREPORT** screen, shown in Figure 11-10, will display showing the report type, report disposition options, report name and report parameters.



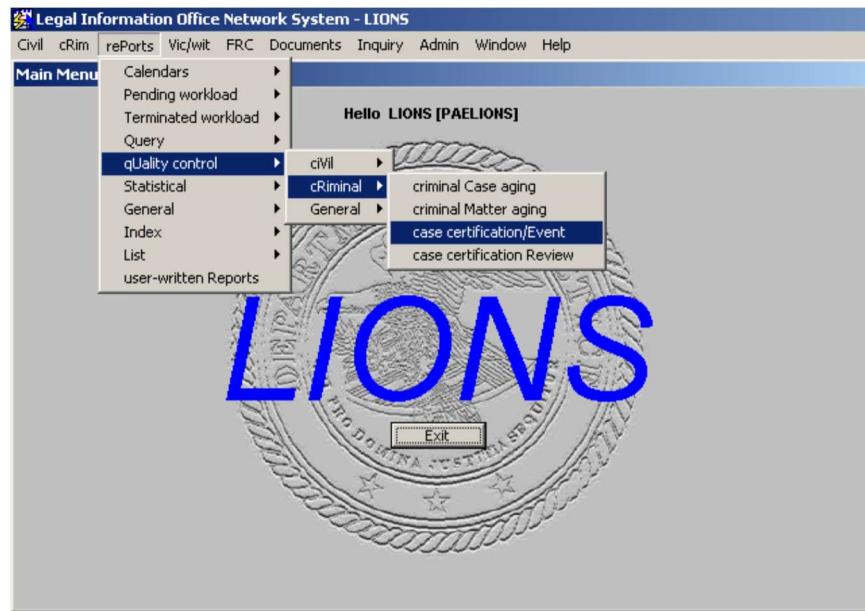
**Figure 11-10: DOREPORT Criminal Case History**

## 11.2. Quality Control

Quality Control reports provide Aging and Certification information on Civil and Criminal cases. The more common report is the Certification report used 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 AUSA). The report generation procedures are the same for both Civil and Criminal case.

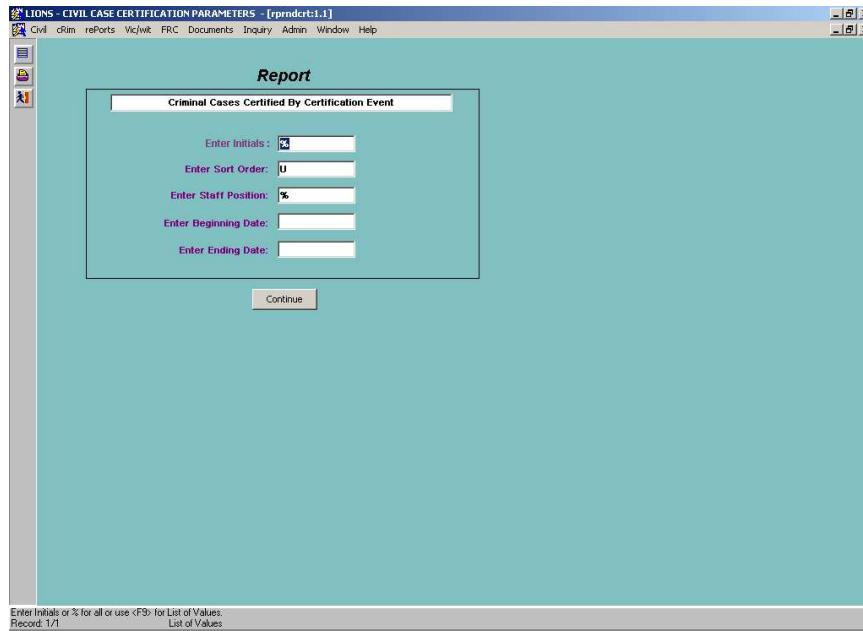
### 11.2.1. Case Certification/Event

Select **Reports, Quality Control, Criminal, Case Certification/Event** from the LIONS Main Menu as shown in Figure 11-11.



**Figure 11-11: Reports, Quality Control, Criminal, Case Certification/Event**

The Criminal Case Certification Parameters screen shown in Figure 11-12 will open.



**Figure 11-12: Criminal Case Certification Report Parameters**

**Enter Initials** – Press **F9** and select the initials of the Lead AUSA. (% will return all.)

**Enter Sort Order** – Press **F9** and select the order in which the report will be sorted.

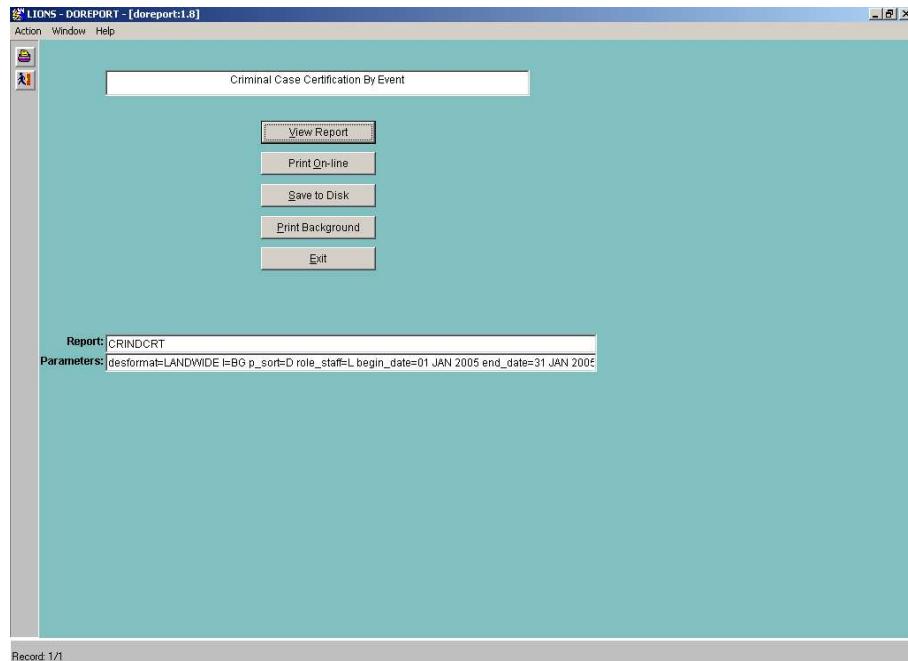
**Enter Staff Position** – This field must be **L** (Lead AUSA). (% will return all.)

**Enter Beginning Date** - Enter the start date for the reporting period.

**Enter Ending Date** - Enter the end date for the reporting period.

Press **Continue**.

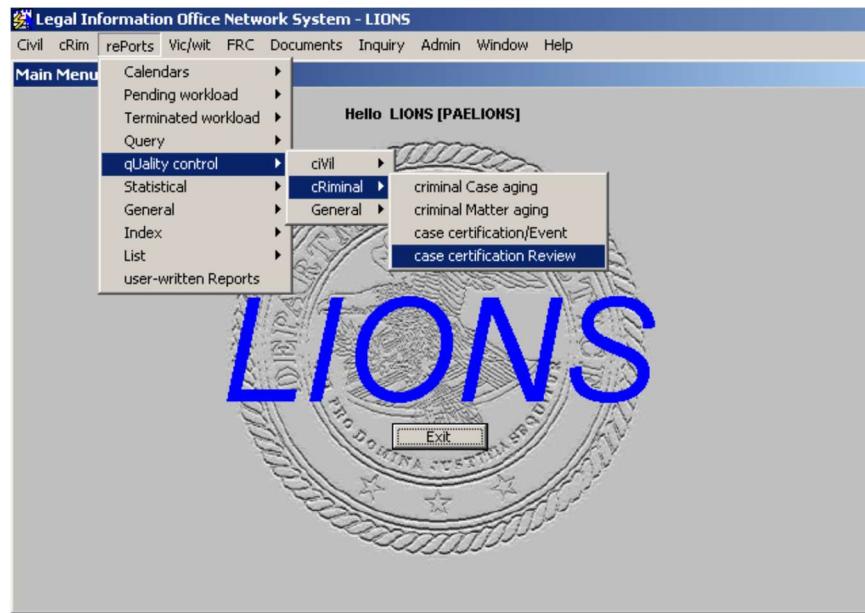
The **DOREPORT** screen shown in Figure 11-13 will display showing the Report type, report disposition options, report name and report parameters.



**Figure 11-13: DOREPORT Criminal Case Certification by Event**

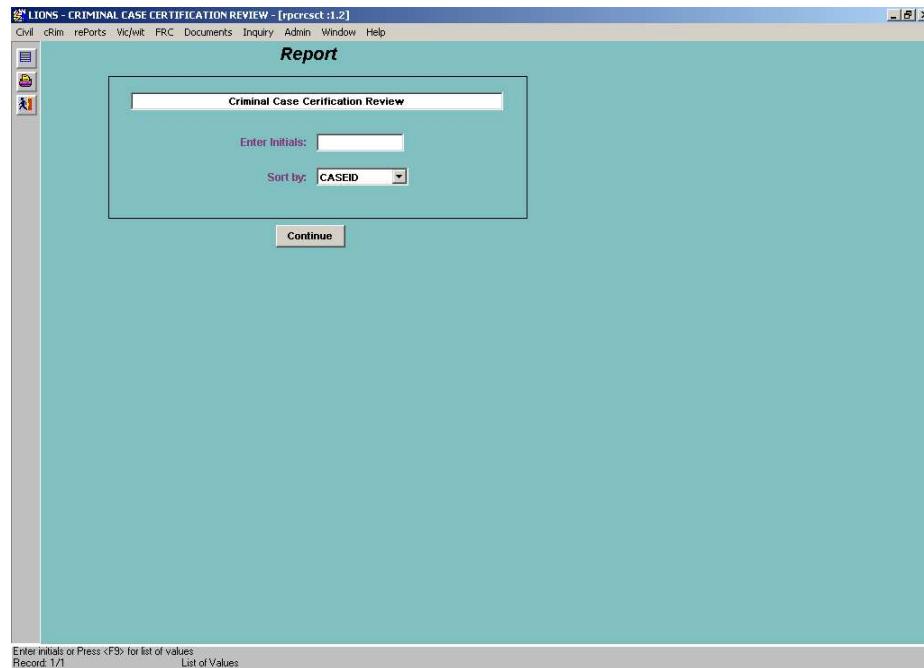
### 11.2.2. Case Certification/Review

Select **Reports, Quality Control, Criminal, Case Certification/Review** from the LIONS Main Menu as shown in Figure 11-14.



**Figure 11-14: Reports, Quality Control, Criminal, Case Certification/Review**

The Report screen shown in Figure 11-15 will open.

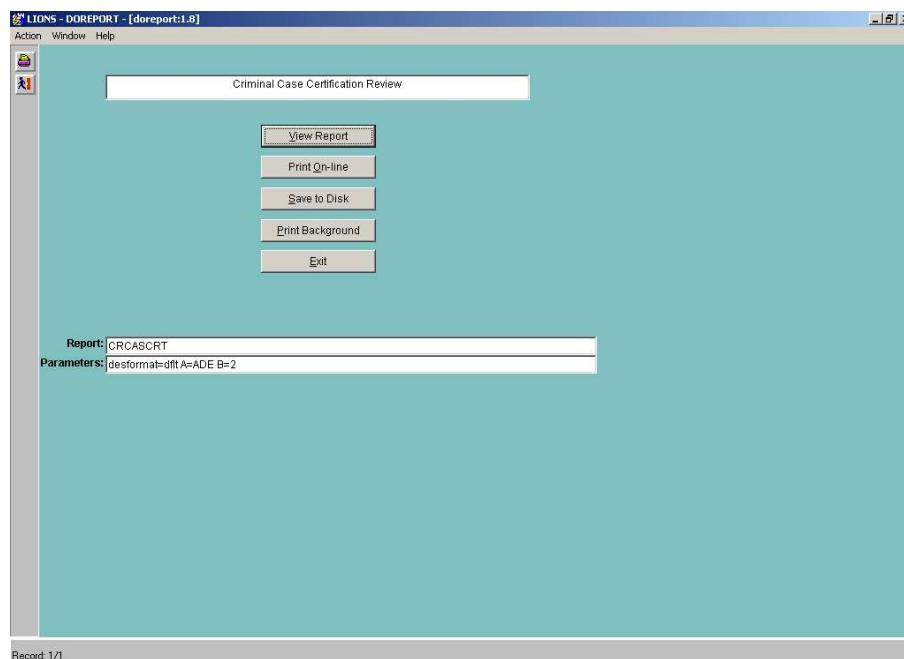


**Figure 11-15: Criminal Case Certification Review Report Parameters**

**Enter Initials** – Press **F9** and select the Lead AUSA. (The % will select all.)

**Sort By** – Click the scroll bar to the right of the field and select the sort, **CASEID** or **Caption**.

Click on **Continue** to generate report.



**Figure 11-16: DOREPORT Criminal Case Certification Review**