

3-16.000 - Information Management

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3-16.100 - Systems Acquisition Policy Statement

The Executive Office for U. S. Attorneys (EOUSA) and United States Attorneys' offices (USAOs) must insure the integrity, security and efficiency of all information technology (IT) systems procured, developed, and deployed in its offices. Toward that end, the Director, EOUSA shall lead a corporate senior management team chartered to assure all new and major enhanced IT systems are developed, maintained and continuously evaluated in an integrated manner as follows:

1. **Enterprise Architecture (EA) Management:** The institutional blueprint which defines both the business and the supporting technology for the EOUSA and USAOs' current mission, strategic

plans, and target operating environments. The EA also defines the roadmap to achieve mission and strategic plan support within the target environment. This blueprint and the acquisition roadmap are to be updated on at least an annual basis.

2. **IT Investment Management:** Using an established, structured process, the selection of new/enhanced IT projects, assuring that each supports mission and user needs. The resulting portfolio of investments shall be evaluated at least semiannually within the context of the USAO enterprise architecture, and reviewed in terms of progress in meeting cost and schedule milestones.
3. **IT Security Management:** The protection of the integrity, confidentiality, and availability of the USAOs' IT assets, resulting in the reduction of the risks of tampering, unauthorized intrusions and disclosures, and disruption of operations. IT security policies and controls shall be established centrally, with the performance of continuous business risk analyses and the implementation, maintenance, monitoring and evaluation of the effectiveness of policies and controls. A comprehensive report shall be delivered at least annually on the state of IT security management.
4. **System Acquisition Management:** The management of major system investments (major system projects) in a manner that increases the probability of promised system capabilities being delivered on time and within budget. Acquisition of major systems shall be done in a rigorous and disciplined manner to reduce the risk of fielding systems that do not perform as intended, are delivered late, or cost more than planned. All major system

contracts shall be planned, tracked, and required deliverables monitored for timeliness and quality by the acquisition organization as well as by the technical project manager.

5. **Electronic Records System Management.** Pursuant to the requirements of the e-Government Act of 2002, EOUSA shall implement processes and procedures to manage electronic records in all existing EOUSA and USAO electronic records systems; identify and schedule electronic records in these systems; transfer to NARA permanent electronic records from existing or legacy systems according to National Archives and Records Administration (NARA) approved records schedules and using NARA-approved electronic formats; and implement procedures to assure the timely destruction of temporary records according to NARA-approved records schedules. Likewise, EOUSA shall assure the inclusion of records management capabilities into all newly developed systems generating Federal records, specifically including functionalities to identify and transfer to NARA records of permanent or potentially permanent value.

EOUSA shall document and execute systems acquisitions consistent with industry-standard capability maturity model best practices and procedures and in compliance with all legal and regulatory requirements.

[updated August 2010]

3-16.110 - Automated Case Management Systems

A. **Case Management Systems.** The EOUSA has developed and maintained automated case management systems, i.e. databases, that collect information from the 94 United States Attorneys' Offices (USAOs) regarding criminal and civil matters; cases and appeals; and personnel resources. The data is used primarily to justify budget requests, allocate resources among USAOs, and produce management reports. The data is compiled into an Annual Statistical Report at the end of each fiscal year. The information is also used to produce numerous periodical and ad-hoc reports for the Attorney General, the Office of Management and Budget, the General Accounting Office, Congress, various federal agencies, private sector organizations, and the public in general as a part of the Freedom of Information Act (FOIA). The current EOUSA automated case management systems include two systems: the Legal Information Office Network System (LIONS) and the USA-5 system. The first system stores basic information about the matters, cases and appeals themselves such as charges, statutes, and defendant sentencing. The second system tracks personnel resources in relation to the work required to prepare, defend, and prosecute the matters, cases, and appeals. The USAOs utilize both the LIONS and USA-5 systems to capture information related to the casework performed in their respective districts. The data for both systems are stored in consolidated databases located in a central location and are managed by the EOUSA Information Technology (IT) staff. The LIONS and USA-5 databases store data for all USAOs.

B. **Non-Public Record.** Section 3607 of Title 18 permits the court to sentence certain first-time drug possession offenders to a

probationary term without a formal adjudication of guilt. Upon the successful completion of the probationary term, the court must discharge all proceedings against the offender and dismiss the action. If the discharged offender was under 21 years of age at the time of the offense, the offender may ask the court for an order expunging all official records of the case, with the exception of a nonpublic record designed to prevent an offender's disposition under 18 U.S.C. Sec. 3607 more than once.

- C. **Expungement.** In the event a case is brought which may result in an expungement order, please contact the Case Management Staff at [\(202\) 616-6919](tel:2026166919) as soon as possible. That staff can provide information on measures which must be taken to assure that records ordered expunged by a court are properly sealed.

[updated December 2009] [cited in [USAM 9-100.200](#); [Criminal Resource Manual 1869](#)]

3-16.111 - Credit for Multi-District Forfeiture Cases

See the [EOUSA Resource Manual at 152](#).

[added February 1998]

3-16.120 - United States Attorneys' Monthly Resource Summary Reporting System

All United States Attorneys' Offices (USAOs) are required to categorize and quantify the resources expended in the course of managing and

administering the office, preparing case work and briefs, and litigating cases. The completeness and accuracy of the resource summary and allocation system is dependent on the commitment of the management of each USAO. The United States Attorneys' Monthly Resource Summary Reporting System (USA-5) provides a means for reporting the use of personnel resources allocated to United States Attorney offices on a monthly basis. EOUSA uses the information to formulate and justify budgets, respond to ad hoc inquiries concerning the allocation of United States Attorney resources, and to monitor the allocation of congressionally appropriated resources.

[updated December 2009]

3-16.130 - Continuous Case Management Data Quality Improvement Plan

The Director, Executive Office for U.S. Attorneys, with the concurrence of the Attorney General's Advisory Committee, issued a Continuous Case Management Data Quality Improvement Plan on May 1, 1996. This program is a major, ongoing initiative, that not only will enhance the success of the LIONS implementation effort, but also will result in more reliable data which is used for a wide variety of internal management awareness and accountability, as well as provide additional training for all personnel involved in the process (docket personnel, system managers, line attorneys and their secretaries, and supervisory attorney personnel), in order to meet current information gathering needs and to be prepared for LIONS. Beginning in FY 1997, each district was to establish a Quality Improvement Plan. Beginning in June 1996, each United States Attorney must personally certify the accuracy

of their data as of April 1 and October 1 of each year. All United States Attorneys' offices (USAOs) are required to certify its case management data biannually on April 1 and October 1. The completeness and accuracy of the case management systems are dependent on the commitment of the management of each United States Attorney's Office (USAO).

[updated December 2009] [cited in [USAM 3-8.622](#); [EOUSA Resource Manual 119](#)]