

List of Documents Automatically Sealed by the ECF System¹

Public Administrative Order No. 23-AO-0002-P and Local Rule 5 address “system-sealed” documents that are automatically filed under seal without a motion by a party or an order of the court. Namely, Public Administrative Order No. 23-AO-0002-P emphasizes, in part, that the court’s list of “system-sealed” documents are accessible on the court’s website and Local Rule 5(c)(2) provides:

Certain categories of documents, because of their nature, are sealed by the [Electronic Case Filing (ECF)] system without a motion by a party or an order of the court. Most of these “system-sealed [documents] are in criminal cases. . . . A party filing such a document must not file a motion for leave to file the document under seal but must file the document under seal directly through the ECF system.

There are three categories of “system-sealed” documents: **(1) Document Sealed (Access Provided to Court Users and Attorneys of Record when Applicable and Limited Access Provided to Public); (2) Document and Docket Entry Sealed (Access Provided to Court Users and Attorneys of Record when Applicable); and (3) Private Document and Docket Entry Sealed (Access Provided to Court Users)**. Each category has a specific restriction level for the listed documents.

Generally, a document filed under seal is electronically accessible only to the court and counsel of record. Some documents filed under seal in criminal [and civil] cases are electronically accessible only to the court.

Local Rule 5(c)(3). Before electronically filing a document, a filer should consider whether the document will appear on the docket sheet² as a docket entry, who is able to electronically access the document, and how and to whom notice of the filed document is provided. In the interest of justice, the court may sua sponte seal a docket entry and/or document, but it is the

¹ Documents, rather than cases, are addressed herein. Some cases, because of their nature, are sealed by the court. Consequently, all documents filed in certain cases denoted by cr (criminal), cv (civil), mj (magistrate judge), pr (pen register), wt (wiretap), gj (grand jury), and sm (sealed miscellaneous) may be sealed. The court may unseal a case and its related documents as circumstances warrant. For example, a qui tam case is filed under seal and such case remains sealed until certain events occur.

² The clerk’s office maintains a docket sheet for all cases filed in the United States District Court for the Northern District of Iowa. Each document entered on the docket sheet is associated with a number and a docket entry that includes the date filed and docket text.

filer's responsibility to exercise caution when electronically filing a document that contains sensitive information, including but not limited to information that is listed in Local Rule 10(g).

The three categories of "system-sealed" documents are described in detail below.³

³ Within each category, an asterisk denotes the listed document is a court filed document, rather than a party filed document, and cr, cv, or cr/cv denote the listed document is filed in civil cases and/or criminal cases. The ECF system provides a menu from which a filer selects an event for the document being filed. A filer must rely on and select from the events that are available in the ECF system. Where an event notes that access is based on the applicable or selected parties, a filer should consider what limits to access are appropriate before selecting and utilizing the event to file a document. Resources regarding the ECF system are available on the court's website.

(1) Document Sealed (Access Provided to Court Users and Attorneys of Record when Applicable and Limited Access Provided to Public)—A document listed under this category appears on the docket sheet as a docket entry for court users, attorneys of record, and members of the public, is electronically accessible by court users and attorneys of record, and generates a Notice of Electronic Filing (NEF) that is sent to the case participants; after a document listed under this category is electronically filed, it is not available to members of the public, but a member of the public, which includes an individual using the court’s public terminal or PACER, is able to view the docket entry in the ECF system.

The **Document Sealed (Access Provided to Court Users and Attorneys of Record when Applicable and Limited Access Provided to Public)** category⁴ includes the following:

- Indictment-Unredacted (SEALED) DTP—cr*
- Superseding Indictment-Unredacted (SEALED) DTP—cr*
- Financial Affidavit CJA 23 (SEALED) DTP (ex parte event)—cr*/cv*
- Pretrial Services Report (SEALED) AP-DTP—cr*
- Report on Defendant under Pretrial Supervision (SEALED) AP-DTP—cr*
- Prob Report Pretrial and Order for Summons (SEALED) AP-DTP—cr*
- Notice Regarding Passport (SEALED) AP-DTP—cr*
- Motion to Discharge Counsel (SEALED) AP-DTP—cr
- Order on Sealed Motion to Discharge Counsel (SEALED) AP-DTP—cr*
- Motion in Limine (SEALED) AP-DTP—cr
- Order on Motion in Limine (SEALED) AP-DTP—cr*
- Trial Brief/Memorandum (SEALED) AP-DTP—cr
- Jury Voir Dire Documents (SEALED) AP-DTP—cr*/cv*
- Peremptory Challenges (SEALED) AP-DTP—cr*/cv*
- Offense Conduct Statement (SEALED) AP-DTP—cr
- Draft Presentence Investigation Report (SEALED) AP-DTP—cr*
- No Objection to PSIR (SEALED) AP-DTP—cr
- Objection to PSIR (SEALED) AP-DTP—cr
- Presentence Investigation Report (SEALED) AP-DTP—cr*
- Sentencing Worksheet (SEALED) AP-DTP—cr*
- Appendix to Judgment (SEALED) AP-DTP—cr*
- Statement of Reasons (SEALED) AP-DTP—cr*
- Motion to Modify Restitution (SEALED) AP-DTP—cr
- Transcript Redaction Request (SEALED) AP-DTP—cr/cv
- Prob 12C Petition and Order for Summons (SEALED) AP-DTP—cr*
- Violation Worksheet (SEALED) AP-DTP—cr*
- Admin Record/Transcript Social Security (SEALED) AP-DTP—cv
- Transcript (SEALED) AP-DTP—cr*/cv*

⁴ Within this category, AP (applicable parties) indicates access to the document and the docket entry is provided to applicable parties, and DTP (docket text public) indicates access to the docket entry is provided to the public.

(2) Document and Docket Entry Sealed (Access Provided to Court Users and Attorneys of Record when Applicable)—A document listed under this category appears on the docket sheet as a docket entry for court users and attorneys of record, is electronically accessible by court users and attorneys of record, and generates a Notice of Electronic Filing (NEF) that is sent to the case participants; after a document listed under this category is electronically filed, it is not available to members of the public, and no member of the public, which includes an individual using the court’s public terminal or PACER, is able to view the docket entry or the associated document in the ECF system.

The **Document and Docket Entry Sealed (Access Provided to Court Users and Attorneys of Record when Applicable)** category⁵ includes the following:

- Criminal Cover Sheet (SEALED) AP-NPA—cr
- Search/Seizure Warrant Issued (SEALED) AP-NPA—cr*
- Seizure Warrant Issued (SEALED) NPA—cv*
- Motion for Search Warrant–Delayed Notice (SEALED) COA—cr*
- Order on Sealed Motion for Search Warrant–Delayed Notice (SEALED) COA—cr*
- Motion to Extend Time for Psychiatric Report (SEALED) AP-NPA—cr
- Order on Motion to Extend Time for Psychiatric Report (SEALED) AP-NPA—cr*
- Motion to Determine Competency (SEALED) AP-NPA—cr
- Order on Motion to Determine Competency (SEALED) AP-NPA—cr*
- Order for Psychiatric Restoration (SEALED) AP-NPA—cr*
- Hearing (Set/Reset) Psychiatric Report Status Conference (SEALED) AP-NPA—cr*
- Psychiatric Report Status Conference (SEALED) AP-NPA—cr*
- Psychiatric Report (SEALED) AP-NPA—cr*
- Notice Regarding Psychiatric Evaluation (SEALED) AP-NPA—cr
- Notice Regarding Psychiatric Restoration (SEALED) AP-NPA—cr
- Pen Registers (SEALED) AP-NPA-cr
- Rule 35(b) Motion (SEALED) AP-NPA—cr
- Rule 35(b) Memorandum (SEALED) AP-NPA—cr
- Rule 35(b) Motion Hearing (Set/Reset) (SEALED) AP-NPA—cr*
- Order on Rule 35(b) Motion (SEALED) AP-NPA—cr*
- Rule 35(b) Motion to Continue Hearing (SEALED) AP-NPA—cr
- Order on Rule 35(b) Motion to Continue Hearing (SEALED) AP-NPA—cr*
- Transcript (SEALED) AP-NPA—cr*

⁵ Within this category, AP (applicable parties) indicates access to the document and the docket entry is provided to applicable parties, and NPA (no public access) indicates access to the document and the docket entry is not provided to the public.

(3) Private Document and Docket Entry Sealed (Access Provided to Court Users)—A document listed under this category appears on the docket sheet as a docket entry for court users, is electronically accessible by court users, and generates a Notice of Electronic Filing (NEF) that (a) confirms the filer electronically filed the document and (b) indicates either no notice (electronic or otherwise) will be sent or no electronic notice will be sent and notice by other means is necessary; after a document listed under this category is electronically filed, it is not available to attorneys of record or members of the public, and neither an attorney of record nor a member of the public, which includes an individual using the court’s public terminal or PACER, is able to view the docket entry or the associated document in the ECF system.

The **Private Document and Docket Entry Sealed (Access Provided to Court Users)** category⁶ includes the following:

- Ex Parte Motion-Generic (SEALED) COA—cr/cv
- Order on Sealed Ex Parte Motion-Generic (SEALED) COA —cr*/cv*
- Ex Parte Notice of Filing (SEALED) COA—cr
- Ex Parte Motion to Issue Subpoena (SEALED) COA—cr
- Order on Sealed Ex Parte Motion to Issue Subpoena (SEALED) COA—cr*
- Motion for Warrant (SEALED) COA—cr
- Order on Sealed Motion for Warrant (SEALED) COA—cr*
- Prob 12A Report on Offender (SEALED) COA—cr*
- Prob 12B Request to Modify Conditions and Order (SEALED) COA—cr*
- Prob 12C Petition and Order for Warrant (SEALED) COA—cr*
- Prob Report Pretrial and Order for Warrant (SEALED) COA—cr*
- Application for Writ of Garnishment (SEALED) COA—cr
- Writ of Garnishment Issued (SEALED) COA—cr*/cv*
- Summons Returned Unexecuted (SEALED) COA—cr*
- Search Warrant Returned Unexecuted (SEALED) COA—cr
- Warrant Issued (SEALED) COA—cr*
- Warrant Returned Unexecuted (SEALED) COA—cr*
- Sentencing Notes (SEALED) COA—cr*
- Staff Notes (SEALED) COA—cr*/cv*

⁶ Within this category, COA (court only access) indicates access to the document and the docket entry is only provided to court users.