Federal Judicial Center

Appeals Integrated Database (IDB): 1971 to 2007

Codebook

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Introduction

In 1982, the Research Division of the Federal Judicial Center (FJC) initiated the Integrated Data Base (IDB) project. The goals of the project were (1) to document the information on cases filed in the federal court system recorded on data tapes compiled by the Administrative Office of the United States Courts (AOUSC), (2) to gather several years of data together into a single database to facilitate multiyear analyses, (3) to provide a common format for the data so that those analyses could be done without having to contend with record formats that changed from year to year, and (4) to provide a vehicle for linking cases from the district to the appellate level. The earliest time period covered by the project is statistical year 1970 (begins July 1, 1969). These data are updated yearly and all federal appellate, district, and bankruptcy court cases active during this time period are included. There is one dataset of terminated cases for each statistical year (SY) and fiscal year (FY) for each of the data categories: appellate, district civil, district criminal, and bankruptcy. In addition, in each category there is a dataset of cases still pending at the end of the time period. This codebook describes the format and fields of the appellate datasets from 1971 through 2007. Separate codebooks are available for the district civil, district criminal, and bankruptcy datasets, as well as the appellate datasets for 2008 forward.

Creating the Database

The FJC obtained all the raw data on computer tapes directly from the AOUSC. The problem of the varying physical structure of the data records was relatively easy to solve. A core set of data fields was identified from among all the fields occurring on the records during any time period. Although this core set was basically a union of all possible fields, some fields that were determined to be of minor importance to our research goals were excluded.

A standard format accommodating all the fields was then designed. Whenever possible, mixed alphanumeric fields were recoded as numeric-only fields and field widths were enlarged to allow for greater value ranges in the future. Each raw data file was first passed through a reformatting program to convert the data to the standard structure; fields that existed in the standard record but not in the original record were left blank.

Next, the restructured data were processed by a conversion program that checked for errors and performed all value recoding. Because the new standard record included some data items captured only during a limited time span[1], many fields were recoded to a "not collected" missing value. In addition, some recoding was done in an attempt to standardize values for a particular field across all years[2]. More often, however, the evolution of values did not follow a clear pattern and longitudinal consistency recoding was not possible. This means that for some fields the same coded value may have different interpretations depending on when the information was recorded[3].

The lack of a consistent correspondence between a coded value and a single interpretation is the most serious challenge to multiyear analysis presented by the data, and the researcher must be extremely careful to account for value inconsistency when doing analyses of this type. The field-by-field descriptions that are presented below are designed to help the researcher identify value changes. Unless limitations are noted, the listed

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[1] For example, information regarding whether the appeal was disposed of by a single judge or by a full panel (“Full Judge Panel”) was collected only during statistical years 1973 through 1980.

[2] For example, the Middle District of Florida was represented by the district code 30 for SY70 and SY71, but the code changed to 3A for subsequent years. In the IDB, the Middle District of Florida is always represented by the code 3A; the older code was detected and recoded.

[3] For example, for the field “Opinion/Order” the coded value 3 denotes per curium opinions for SY71 data but published, unsigned opinions and orders for SY81.

correspondence between a coded value and its interpretation is consistent throughout the database time period[4].

Original Documents

The records of the appeals database were derived from information routinely collected by the AOUSC on standard case status forms filed monthly by the Clerk of Court in each of the federal circuit courts of appeals. Copies of the multipart JS-34 Docket Report Form were submitted at filing and at termination of the appeal.

Reference Documents

The primary reference for information collected on the JS-34 was Title X "Instructions for Completing Court of Appeals Report Forms JS-30, JS-34, and JS-34A" of the Statistical Analysis Manual, which was volume XI of the Guide to Judiciary Policies and Procedures published by the AOUSC. This manual and the periodic transmittals used to update it were the official instructions to the Clerks of Court for completing the original case forms. Information regarding the values coded on the computer record from the original documents was contained in a booklet issued periodically by the AOUSC entitled "Statistical Codes for Appeals Reports Submitted by Clerks of Court, United States Courts of Appeals." The several versions of these documents issued over the course of our data period as well as computer tape layouts and occasional special memoranda were the sources of the field and value documentation presented below.

Documentation materials available to the project for the period prior to 1979 were very sparse; therefore it was frequently impossible to accurately identify when a change in values or interpretation occurred. The practice used in this document was to list the statistical/fiscal year in which the value was known to have been valid (primarily because documentation from the same statistical/fiscal year listed the value). A value may have been valid prior to the listed date but we could not confirm it. Conversely, the assumption was made that a value continued to have the same interpretation until a change was documented. Values that were supposedly no longer valid were sometimes found in the data as a result of coding habit or the use of an outdated form.

Published Tables

Tables based on the original data compiled by the AOUSC are published in the Annual Report of the Director of the Administrative Office of the United States Courts. The "B" tables in the appendix of "Detailed Statistical Tables" are based on the appeals data. Case counts achieved with the IDB data should match the published tables. If there are discrepancies, contributing factors may be: (1) population restrictions (for example, excluding original proceedings cases); (2) case groupings employed to simplify presentation (for example, "All Other" categories); (3) statistical/fiscal year skews effecting inclusion in a cohort based on calendar dates (see "Fiscal Year Designation" below); and (4) any IDB processing that may have altered values (for example, out-of-range values falling into a separate "missing" category rather than part of "other").

Matching published figures is not always a straightforward process, especially for data from the earlier statistical years. Often, cases are excluded from or included in tables based on information in fields other than the obvious ones. For example, the failure to record a date in the “Submission Date” field may cause a case to be excluded from a count of submitted cases even though the “Disposition” code indicates submission. Conversely, the occurrence of a value in the “Oral Hearing Date” field might override missing information in the disposition fields and cause a case to be counted as heard. These types of problems are less likely to occur when matching counts

[4] Value consistency should not be confused with value validity. Circuit values of 11 always refer to the Eleventh Circuit but are not valid prior to SY82. Disposition values of 2, on the other hand, are valid throughout but assume three different interpretations.

by case type or circuit than they are in the area of case disposition where several fields are used to report the details of the disposition.

Fiscal Year Designation

In 1992, the AOUSC changed the reporting period for statistical data. Up to 1992, the reporting period, or statistical year, went from July through June (e.g. statistical year 1990 covered the period July 1, 1989 through June 30, 1990). In 1992, the statistical reporting period was changed to conform to the federal government's standard fiscal year, October through September (e.g. fiscal year 1993 covered the period October 1, 1992 through September 30, 1993). All of the previous data files in the IDB conform to the old statistical year (SY70-SY91). The 1992 files cover a 15-month time span (July 1, 1991 through September 30, 1992) to accommodate this conversion period. The 1993 file and all subsequent files conform to the new fiscal year (October 1 through September 30).

Due to reporting time lags, there is often a slight skew to the correspondence between calendar date and statistical/fiscal year at the borders of the statistical/fiscal year. Transactions which by date would logically fall into one statistical/fiscal year may actually be counted in a different statistical/fiscal year. For example, June 1985 filings and terminations should be counted in SY85. However, if the reports were received by the AOUSC after the statistical year data were processed, the late-arriving transactions were counted in SY86 instead. The tables published by the AOUSC for a particular statistical/fiscal year are based on all the cases designated as belonging to that statistical/fiscal year regardless of the actual filing or termination dates.

The IDB files are organized according to statistical/fiscal year of termination based on the termination date used by the AOUSC to identify the statistical/fiscal year in which the case was counted. This organization was chosen to facilitate matching published terminations data. To match published data based on the statistical/fiscal year of filing, the field “AOUSC Filing Month” and “AOUSC Filing Year” can be used to identify cases[5]. Cohorts based on actual filing and termination dates, rather than on these AOUSC month and year fields, are unlikely to provide counts that can be matched with published tables.

Special Notes

Appeals data for SY70 are not included in the IDB. Prior to SY71, filing and termination data for the circuit courts of appeals were recorded on the JS-31/JS-32 report forms. This information was sufficiently different in substance and format from the information recorded on the JS-34 that the conversion effort was deemed not worthwhile.

Changes to Rule 12(a) of the Federal Rules of Appellate Procedure concerning docketing affected the number of cases reported as filed for the various years. Until 1979, Rule 12(a) required a case be docketed only after payment of the docket fee or approval of the petition to proceed in forma pauperis. The JS-34 form was completed at the time of docketing and the case was entered into the database. However, in August 1979, the rule was changed to permit entry on the docket prior to payment of docketing fee or approval of the petition. For a brief period, the JS-34 form continued to be completed only after payment of the fee or approval of the petition. This was done in an effort to maintain the comparability of the number of appeals reported in the statistical system before and after the rule change. However, in July 1980, the reporting standards were modified to permit completion of the JS-34 form for all cases at the time they were entered on the docket without regard to the status of fee payment or petition. This change allowed for substantially more actions to

[5] Continuing the example given above, a case that was docketed in June 1985 but was processed late and thus was counted among SY86 cases instead of SY85 cases will have a value of 07 for “AOUSC Filing Month” and 85 for “AOUSC Filing Year” which places it within the value range for SY86 cases.

be reported. At that same time, the AOUSC also created a new disposition code under “Procedural Termination” (7 = "Special Dismissal") to be used to terminate cases dismissed due to failure to pay the filing fee or failure to prosecute the appeal. This allowed direct identification of the appeals included in the reporting system solely due to the change to Rule 12(a).

In July 1984 (SY85), a major change occurred in the recording of the disposition of an appeal. Several data fields dealing with disposition were restructured or replaced. The affected fields are “Disposition”; “Outcome”; “Procedural Termination”; “Method of Disposition”; “Opinion/Order”; and “Determination of Original Proceeding”. The new structure much more clearly delineated mutually exclusive dispositions. In addition, “Complete Record Date” was replaced in SY85 by the briefing notice issued date but retained the same variable name. The new fields are coded "in place of" the old fields; that is, the same record columns are being used to record the different data. Therefore, the researcher must exercise care in using these fields for pre- and post-SY85 comparisons. See the field descriptions below for more detailed information.

The disposition changes of SY85 referred to above also shifted the emphasis from disposition after hearing or submission to the more encompassing termination on the merits (**DISP =** 1, 2, OR 3). The post-SY85 termination on the merits includes decisions by full panels based on submission of informal briefs (or other written papers) that did not meet the criteria of formal briefs under Rule 28, F.R.A.P. Prior to SY85 these terminations would have been counted as disposed of without hearing or submission. If one compares the pre-SY85 disposition counts to the post-SY85 termination on the merits count, it is clear that there has been a noticeable increase in merits dispositions in selected circuits (for example, the Fourth) and for some case types (notably prisoner petitions) where the submission of informal briefs is common.

The appeals records include several detail fields that provide additional information regarding the nature of the case in the court below. For example, the “Administrative Agency” field reports the code of the U.S. agency from which the action arose; and, the “Jurisdiction” and “Nature of Suit” fields provide case type information for civil cases arising from the district courts. The correct match between “Type of Appeal” and the location of the detail information is:

Type of Appeal	Type of Appeal Code	Matching Detail Field
Administrative Appeals	1 or 2	Administrative Agency
Civil	3, 4, 7	Jurisdiction, Nature of Suit
Criminal	5, 8, 13, 14, 15, 16, 17	Nature of Offense
Original Proceedings	6	Nature of Original Proceeding
Bankruptcy/Other	9, 10, 11, 12	Other Type

When the matching detail field is filled in, all the other detail fields should be blank or zero (or coded missing). Due to programming errors, prior to SY87, occasionally there will be information in another detail field in addition to the matching detail field. The information in the matching detail field is correct and any non-blank information in any other detail fields is extraneous and should be ignored.

Purpose and Limitations of the Documentation

The purpose of this document is to briefly describe the data contained in the IDB files: the physical structure of the records, the fields that are included, and the range of valid values that can be expected for each field (particularly in those instances where IDB processing programs have altered the value recorded in the original data). The document also points out known problems associated with using the IDB data, especially with respect to multiyear analyses. This document does not provide detailed explanations of fields or values, coding

instructions for special cases, definitions of legal terms, information regarding court management or procedures, or changes in the federal rules or the law. Although information on these latter topics may be important when conducting analyses using these data, it is impossible to present that information here. The researcher may want to consult the reference materials listed above ("Reference Documents"), the federal rules of procedure, and the U.S. code for more detailed information.

Record Format

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
1	Circuit	CIRCUIT	The code of the federal judicial circuit where the case was located	N2
2	Docket Number	DOCKET	Docket number assigned by the circuit to the case	A7
3	Reopen	REOPEN	Denotes reopened/remanded appeal	A2
4	Docket Date	DKTDATE	Date the case was docketed in the court of appeals	YYYYMMDD
5	US Appellant	USAPT	Indicates whether or not the United States initiated the appeal	N2
6	Appellant Name	APPELLAN	Name of the party initiating the appeal	A16
7	US Appellee	USAPE	Indicates whether or not the appeal was filed against the United States	N2
8	Appellee Name	APPELLEE	Name of the party against whom the appeal was taken	A15
9	Type of Appeal	APPTYPE	Type of appeal at filing	N2
10	Nature of Original Proceeding	ORGPROC	Nature of the original proceeding	N2
11	In Forma Pauperis	IFP	Indicates if appeal proceeded in forma pauperis	N2
12	Divisional Office	DIVOFF	The code of the circuit office where the case was located	A2
13	Administrative Agency	AGENCY	The code of the U.S. government agency involved	A4
14	Jurisdiction	JURIS	Basis of jurisdiction for civil appeals	N2
15	Nature of Suit	NOS	Nature of suit for civil appeals	N3
16	Nature of Offense	OFFENSE	Nature of offense for criminal appeals	N4
17	Other Type	OTHTYPE	Additional information regarding bankruptcy or other appeals	A4
18	District Court – Circuit	DCIRC	The code of the federal judicial circuit in which the case was originally filed	N2

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
19	District Court – District	DDIST	The code of the federal judicial district/bankruptcy court in which the case was originally filed	A2
20	District Court – Office	DOFFICE	The code of the district/bankruptcy office in which the case was originally filed	A2
21	District Court - Docket	DDOCKET	Docket number assigned to the case in the district/bankruptcy court	A7
22	District Court – Docket Date	DDKTDATE	Date the case was docketed in the district/bankruptcy court	YYYYMMDD
23	Notice of Appeal Date	APPDATE	Date the notice of appeal was filed in the lower court	YYYYMMDD
24	AOUSC Filing Month	AOFILEMO	Month the case was entered on the appeals statistical file of the AOUSC	MM
25	AOUSC Filing Year	AOFILEYR	Year the case was entered on the appeals statistical file of the AOUSC	YYYY
26	Disposition	DISP	Type of disposition action taken by court to terminate appeal	N2
27	Outcome	OUTCOME	Type of disposition action for merit terminations	N2
28	Procedural Termination	PROCTERM	Type of disposition action for procedural terminations after other judicial action	N2
29	Method of Disposition	METHOD	Type of disposition action for procedural terminations without judicial action	N2
30	Opinion/Order	PUBSTAT	Opinion or order prepared by court to dispose of appeal	N2
31	Determination of Original Proceeding	OPDISP	Determination of original proceeding outcome	N2
32	Joined Appeal	JOINAPP	Type of joined appeal	N2
33	Joined Appeal Docket Number	CONSDKT	Docket number of joined appeal	A7
34	Complete Record Date	CRECDATE	Date the original briefing notice or schedule was issued by the court of appeals	YYYYMMDD

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
35	Last Brief Filing Date	BRFILED	Date last brief was filed	YYYYMMDD
36	Submission Date	SUBDATE	Date appeal was submitted on the merits	YYYYMMDD
37	Oral Hearing Date	HEARDATE	Date appeal was orally argued on the merits before a panel of the court	YYYYMMDD
38	Final Judgment Date	JUDGDATE	Date final judgment, decree, or order was entered to announce decision of court	YYYYMMDD
39	Opinion	OPINION	Opinion	N2
40	Judge Code 1	JDGCODE1	First judge	A4
41	Judge Code 2	JDGCODE2	Second Judge	A4
42	Judge Code 3	JDGCODE3	Third Judge	A4
43	Tape Year	TAPEYEAR	Statistical year ID label on data file obtained from the AOUSC which represents termination year	YYYY
44	Pro Se at Filing	PROSEFLE	Identifies pro se parties of time of filing	A2
45	Pro Se at Termination	PROSETRM	Identifies pro se parties of time of termination	A2
46	Status Code	STATUSCD	Status of the case	A1
47	AOUSC Termination Month	TRUSEDMO	Month the case was terminated on the appeals statistical file of the AOUSC	MM
48	AOUSC Termination Year	TRUSEDYR	Year the case was terminated on the appeals statistical file of the AOUSC	YYYY
49	Termination Date	TERMDATE	Date the appeal was terminated	YYYYMMDD
50	Certificate of Probable Cause Decision	CPC	Status of petition for Certificate of Probable Cause	N2
51	Certificate of Probable Cause Decision Made by	CPCDISC	Indicates which court made the decision regarding the petition for Certificate of Probable Cause	N2
52	Full Judge Panel	JDGPANEL	Indicates whether a single judge or full panel heard the case	N2
53	Counsel Appointed	CNSLAPP	Indicates if counsel was appointed by court	N2
54	Counsel Continued	CNSLCONT	Indicates if counsel was continued from district court	N2

FIELD NUMBER	FIELD NAME	SHORT FIELD NAME (for SAS)	DESCRIPTION	FORMAT
55	Counsel Source – District	CNSLDIS	Source of counsel in district court	N2
56	Counsel Source - Circuit	CNSLCIR	Source of counsel in circuit court	N2
57	Statistical Year	NEWSYTRM	AOUSC statistical year in which the appeal was terminated	YYYY

Detailed Field Descriptions

CIRCUIT
(CIRCUIT)

0 - District of Columbia
1 - First Circuit
2 - Second Circuit
3 - Third Circuit
4 - Fourth Circuit
5 - Fifth Circuit
6 - Sixth Circuit
7 - Seventh Circuit
8 - Eighth Circuit
9 - Ninth Circuit
10 - Tenth Circuit
11 - Eleventh Circuit (valid beginning SY82)

-8 = Missing data

DOCKET NUMBER
(DOCKET)

The standard format used by the U.S. courts of appeals through SY86 is YYNNNN, a six digit number with a two digit year and a four digit serially assigned number beginning with 1001 and extending to 9999. This number has been converted to a seven character format by inserting a 0 between the year and sequence number portions (that is, YYNNNN becomes YY0NNNN). Beginning in SY87, the four digit serial number has been expanded to five digits to accommodate a number from 00001 up to 99999.

-8 represents missing data.

REOPEN
(REOPEN)

Valid beginning in SY73.

1 - Reopened cases
2 - Remanded cases (since SY81)
3 - Second reopening/remand of case (since SY82)
4 - Reinstated after a procedural default (since SY85)
5 - Third reopening/remand of case (since SY88)
6 - Fourth reopening/remand of case (since SY97)
7 - Fifth reopening/remand of case (since SY97)

-8 = Missing/invalid data (includes initial case openings)

DOCKET DATE
(DKTDATE)

01/01/1900 represents missing data.

US APPELLANT
(USAPT)

0 - Non-US Appellant
1 - US was the Appellant

-8 = Missing data

APPELLANT NAME
(APPELLAN)

This field is set to missing on public use files for bankruptcy and criminal appeals.

US APPELLE
(USAPE)

0 - Non-US Appellee
1 - US was the Appellee

-8 = Missing data

APPELLEE NAME
(APPELLEE)

This field is set to missing on public use files for bankruptcy and criminal appeals.

TYPE OF APPEAL
(APPTYPE)

1 - Administrative Review
2 - Administrative Enforcement
3 - Civil, U.S.
4 - Civil, Private
5 - Criminal (prior to SY88)
6 - Original Proceeding
7 - Emergency Court - Civil (prior to SY81)
8 - Emergency Court - Criminal (prior to SY81)
9 - Bankruptcy (prior to SY81)
10 - Bankruptcy, Direct from Bankruptcy Court (SY81-SY89; FY 2006 on)
11 - Bankruptcy, from Bankruptcy Appellate Panel (BAP) (since SY81)
12 - Bankruptcy, from District Court (since SY81)
13 - Guideline case - general (since SY88)
14 - Pre-guideline case or other (since SY88)
15 - Guideline case - sentence only (since SY88)
16 - Guideline case - conviction only (since SY88)
17 - Guideline case - sentence and conviction (since SY88)

-8 = Missing/invalid data

NATURE OF ORIGINAL PROCEEDING
(ORGPROC)

Only valid for **APPTYPE** = 6.

1 - Writ of Prohibition
2 - Writ of Mandamus (prior to FY99); Writ of Mandamus, fee paid in full at time of filing (since FY99)
3 - Habeas Corpus (prior to SY81); Writ of Mandamus, fee not paid in full at time of filing (since FY99)
4 - Certiorari (prior to SY81)
5 - Other Extraordinary Writ
6 - Second or successive filing of habeas corpus (since FY98)

-8 = Missing/invalid data (including all non-original proceedings)

IN FORMA PAUPERIS
(IFP)

Data collected prior to SY81.

0 - Not an in forma pauperis proceeding
1 - In forma pauperis proceeding

-8 or null = Missing/invalid data

DIVISIONAL OFFICE
(DIVOFF)

This item pertains only to Ninth Circuit Court of Appeals and Fifth Circuit Court of Appeals cases docketed prior to October 1, 1981.

-8 represents missing/invalid data.

ADMINISTRATIVE AGENCY
(AGENCY)

Only valid for **APPTYPE** = 1 or 2.

AEC - Atomic Energy Commission
AGRI - Department of Agriculture
ARMY - ARMY
BCA - Board of Contract Appeals
BNDD - Bureau of Narcotics and Dangerous Drugs
BOP - Bureau of Prisons
BPA - Bonneville Power Administration
BRB - Benefits Review Board
CAB - Civil Aeronautics Board
CFTR - Commodity Future Trading Commission

COAL - COAL
COMM - Department of Commerce
CPSC - Consumer Products Safety Commission
CRT - Copyright Royalty Tribunal
CSC - Civil Service Commission
CSRT - Combatant Status Review Tribunal
DEA - Drug Enforcement Agency
DCTC - DCTC
DHS - Department of Homeland Security
DNFS - DNFS
DOD - Department of Defense
DOE - Department of Energy
DOI - Department of the Interior
DOJ - Department of Justice
DOST - Department of State
DVA - Department of Veterans Affairs
EDUC - Department of Education
EEOC - Equal Employment Opportunity Commission
EPA - Environmental Protection Agency
ERA - Economic Regulatory Administration
FAA - Federal Aviation Administration
FCC - Federal Communication Commission
FCMS - Federal Coal Mine Safety Board
FDA - Food and Drug Administration
FDIC - Federal Deposit Insurance Corp.
FEA - Federal Energy Agency
FEC - Federal Election Commission
FERC - Federal Energy Regulatory Commission
FHLB - Federal Home Loan Bank Board
FLRA - Federal Labor Relations Authority
FLRB - Federal Labor Relations Authority
FMBD - Federal Maritime Board
FMC - Federal Maritime Commission
FMCS - Federal Mediation and Conciliation Service
FPC - Federal Power Commission
FRA - Federal Railroad Administration
FRS - Federal Reserve System
GAO - Government Accounting Office
GSA - General Services Administration
HCFA - Health Care Financing Administration
HEW - Department of Health, Education, and Welfare
HHS - Department of Health and Human Services
HUD - Department of Housing and Urban Development
HWFD - HWFD
IBLM - Bureau of Land Management, Interior
ICC - Interstate Commerce Commission
IRS - Internal Revenue Service
ITC - International Trade Commission

LABR - Department of Labor (Except OSHA)
MARA - MARA
MSHA - Federal Mine Safety and Health Administration
MSHR - Federal Mine Safety and Health Review
MSPB - Merit Systems Protection Board
NASA - National Aeronautics and Space Administration
NAVY - NAVY
NCUA - National Credit Union Association
NRC - Nuclear Regulatory Commission
OCBD - Office of Compliance/Board of Directors
OFI - Office of the Federal Inspector
OMB - Office of Management and Budget
OPM - Office of Personnel Management
OSFE - Office of Senate Fair Employment Practices
OSHA - Occupational Safety and Health Administration
OSHC - Occupational Safety and Health Review Commission
OSHR - Occupational Safety and Health Review Commission
OTHR - OTHR
OTS - Office of Thrift Supervision
OWCP - Office of Workers Compensation Programs
PATO - Patent Office
PRC - Postal Rate Commission
RENB - RENB
RRAB - Railroad Adjustment Board
RRRB - Railroad Retirement Board
RTCO - Resolution Trust Corporation
SACB - Subversive Activities Control Board
SBA - Small Business Administration
SEC - Securities and Exchange Commission
SSA - Social Security Administration
STB - Surface Transportation Board
TRAN - Department of Transportation - National Transportation Safety Board
TREA - Department of the Treasury (Except IRS)
USPS - U.S. Postal Service
VET - Veterans Administration
WMAT - Washington Metropolitan Area Transit Authority
0 - Interstate Commerce Commission
1 - National Labor Relations Board
3 - Tax Court/Internal Revenue Service
4 - Federal Trade Commission
6 - Immigration and Naturalization Service
7 - Environmental Protection Agency
8 - Federal Energy Regulatory Commission

-8 = Missing/invalid data
-9 or null = Non-agency appeals

JURISDICTION
(JURIS)

Only valid for civil causes of action where **APPTYPE** = 3, 4, or 7.

1 - U.S. Plaintiff
2 - U.S. Defendant
3 - Federal Question
4 - Diversity of Citizenship
5 - Local Question (territorial districts only)

-8 or null = Missing data
-9 or 0 = Non-civil appeals

For Prisoner Petitions only (**NOS** = 510, 530, 535, 540, and 550) the values in the Jurisdiction field have slightly different interpretations:

2 - Federal
3 - State
5 - Local

-8 or null = Missing/invalid data
-9 or 0 = Non-civil appeals

NATURE OF SUIT
(NOS)

Only valid for civil causes of action where **APPTYPE** = 3, 4, or 7.

-8 = Missing/invalid data
-9 or 0 = Non-civil appeals

NATURE OF OFFENSE
(OFFENSE)

Only valid for criminal appeals where **APPTYPE** = 5, 8, 13, 14, 15, 16, or 17.

-8 = Missing/invalid data
-9 or 0 = Non-criminal appeals

OTHER TYPE
(OTHTYPE)

Only valid for bankruptcy appeals **APPTYPE** = 9, 10, 11, or 12.

-8 = Missing/invalid data
-9 or 0 or null = Non-bankruptcy appeals

DISTRICT COURT – CIRCUIT
(DCIRC)

Valid for appeals arising from district or bankruptcy court (**APPTYPE** = 3, 4, 5, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, or 17).

0 - District of Columbia
1 - First Circuit
2 - Second Circuit
3 - Third Circuit
4 - Fourth Circuit
5 - Fifth Circuit
6 - Sixth Circuit
7 - Seventh Circuit
8 - Eighth Circuit
9 - Ninth Circuit
10 - Tenth Circuit
11 - Eleventh Circuit (valid beginning SY82)

-8 = Missing/invalid data

DISTRICT COURT – DISTRICT
(DDIST)

Valid for appeals arising from district or bankruptcy court (**APPTYPE** = 3, 4, 5, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, or 17). Prior to SY74, district code 70 referred to a district that included both Arizona and Alaska, since SY74 the district code for Arizona has been 70, while the code for Alaska has been 7-.

00 - Maine
01 - Massachusetts
02 - New Hampshire
03 - Rhode Island
04 - Puerto Rico
05 - Connecticut
06 - New York - Northern
07 - New York - Eastern
08 - New York - Southern
09 - New York - Western
10 - Vermont
11 - Delaware
12 - New Jersey
13 - Pennsylvania - Eastern
14 - Pennsylvania - Middle
15 - Pennsylvania - Western
16 - Maryland
17 - North Carolina - Eastern
18 - North Carolina - Middle
19 - North Carolina - Western
20 - South Carolina
22 - Virginia - Eastern
23 - Virginia - Western
24 - West Virginia - Northern
25 - West Virginia - Southern
26 - Alabama - Northern
48 - Ohio - Southern
49 - Tennessee - Eastern
50 - Tennessee - Middle
51 - Tennessee - Western
52 - Illinois - Northern
53 - Illinois - Central
54 - Illinois - Southern
55 - Indiana - Northern
56 - Indiana - Southern
57 - Wisconsin - Eastern
58 - Wisconsin - Western
60 - Arkansas - Eastern
61 - Arkansas - Western
62 - Iowa - Northern
63 - Iowa - Southern
64 - Minnesota
65 - Missouri - Eastern
66 - Missouri - Western
67 - Nebraska
68 - North Dakota
69 - South Dakota
7- - Alaska
70 - Arizona
71 - California - Northern
72 - California - Eastern
73 - California - Central

27 - Alabama - Middle
28 - Alabama - Southern
29 - Florida - Northern
3A - Florida - Middle
3C - Florida - Southern
3E - Georgia - Northern
3G - Georgia - Middle
3J - Georgia - Southern
3L - Louisiana - Eastern
3N - Louisiana - Middle
36 - Louisiana - Western
37 - Mississippi - Northern
38 - Mississippi - Southern
39 - Texas - Northern
40 - Texas - Eastern
41 - Texas - Southern
42 - Texas - Western
43 - Kentucky - Eastern
44 - Kentucky – Western
45 - Michigan - Eastern
46 - Michigan - Western
47 - Ohio - Northern
74 - California - Southern
75 - Hawaii
76 - Idaho
77 - Montana
78 - Nevada
79 - Oregon
80 - Washington - Eastern
81 - Washington - Western
82 - Colorado
83 - Kansas
84 - New Mexico
85 - Oklahoma - Northern
86 - Oklahoma - Eastern
87 - Oklahoma - Western
88 - Utah
89 - Wyoming
90 - District of Columbia
91 - Virgin Islands
92 - Canal Zone
93 - Guam
94 - Northern Mariana Islands

-8 = Missing/invalid data

DISTRICT COURT – OFFICE
(DOFFICE)

Valid for appeals arising from district or bankruptcy court (**APPTYPE** = 3, 4, 5, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, or 17).

-8 represents missing/invalid data.

DISTRICT COURT – DOCKET
(DDOCKET)

Valid for appeals arising from district or bankruptcy court (**APPTYPE** = 3, 4, 5, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, or 17). The format is YYNNNNN, where YY is the last two digits of the calendar year in which the case was filed, and NNNNN is the five digit sequence number from 00001 to 99999.

-8 represents missing/invalid data.

DISTRICT COURT – DOCKET DATE
(DDKTDATE)

Valid for appeals arising from district or bankruptcy court (**APPTYPE** = 3, 4, 5, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, or 17).

01/01/1900 represents missing/invalid data.

NOTICE OF APPEAL DATE
(APPDATE)

For interlocutory appeals filed pursuant to Title 28 U.S.C. Section 1292(b), the item represents the date the application was granted.

01/01/1900 represents missing/invalid data.

AOUSC FILING MONTH
(AOFILEMO)

Valid beginning in SY81.

0 represents missing data.

AOUSC FILING YEAR
(AOFILEYR)

Valid beginning in SY81.

0 represents missing data.

DISPOSITION
(DISP)

Values valid beginning in SY85:

Termination on the Merits:
1 - After Oral Hearing
2 - After Submission Without Hearing (Argument Waived)
3 - After Submission Without Hearing (Court Rule) (valid through SY85; beginning in SY86, all submissions without hearing are to be recorded as Argument Waived, (**DISP** = 2))

Procedural Termination:
4 - After Other Judicial Action
5 - Without Judicial Action

Values valid SY81 - SY84:

1 - After Oral Hearing
2 - After submission on Briefs
3 - Other Judicial Action
4 - Without Judicial Action

Values valid SY71 - SY80:

1 - After Oral Argument
2 - Without Oral Argument
-8 = Missing data

OUTCOME
(OUTCOME)

Valid only when appeal is disposed of on the merits (**DISP** = 1, 2, or 3).

Values valid beginning in SY85:

Action on the merits

1 - Affirmed - Enforced
2 - Reversed - Vacated
3 - Affirmed in Part and Reversed in Part
5 - Dismissed - Frivolous
6 - Remanded
7 - Other

-8 = Missing/invalid data

Values valid SY71 - SY 84:

By judicial action

1 - Affirmed - Decree Enforced
2 - Reversed - Vacated - Denied
3 - Affirmed and Reversed
4 - Dismissed - Want of Jurisdiction (prior to Jan. 1976)
5 - Dismissed - Other
6 - Remanded
7 - Transferred (since SY76)

-8 = Missing/invalid data

PROCEDURAL TERMINATION
(PROCTERM)

Valid only when appeal is disposed of after other judicial action (**DISP** = 4).

Values valid beginning in SY85:

1 - Jurisdictional Defects
2 - F.R.A.P. 42
3 - Settlement Program (prior to SY87)
5 - Default
6 - CPC Denial

7 - Transferred
8 - Dismissed/Other
9 - Certificate of Appealability

-8 = Missing/invalid data

Values valid SY71 - SY84:

Without judicial action

1 - Consent Decree
2 - Affirmed, Stipulated Consent (prior to SY81)
3 - Reversed, Stipulated Consent (prior to SY81)
4 - Dismissed
5 - Cross Appeal or Consolidation (prior to Jan. 1976); Out of Court Settlement (since Jan. 1976)
6 - Other
7 - Special Dismissal (since SY81)
8 - Error (code may occur but it is not valid)

-8 = Missing/invalid data

METHOD OF DISPOSITION
(METHOD)

Valid only when appeal is disposed of without judicial action (**DISP** = 5).

Values valid beginning in SY85:

1 - F.R.A.P. 42
2 - No longer in use beginning SY 87
3 - Default
4 - Other

-8 = Missing/invalid data

Values valid SY71 - SY84:

1 - Written Opinion
2 - Memorandum Decision
3 - Decided From the Bench
4 - By Court Order
5 - By Consent
6 - Other

-8 = Missing/invalid data

OPINION/ORDER
(PUBSTAT)

Values valid beginning in SY85 (Opinions/Orders - Terminations on the merits)

1 - Unpublished, Oral
2 - Published, Written, Signed
3 - Unpublished, Written, Signed
4 - Published, Written, Unsigned Reasoned
5 - Unpublished, Written, Unsigned Reasoned
6 - Published, Written, Unsigned Without Comment
7 - Unpublished, Written, Unsigned Without Comment

-8 = Missing/invalid data

Values valid SY81 - SY84 (Opinions/Orders - All terminations)

1 - Published, Other
2 - Published, Signed
3 - Published, Unsigned
4 - Unpublished, Other
5 - Unpublished, Signed
6 - Unpublished, Unsigned

Values valid Jan. 1976 - SY80 (Opinions Only - All terminations)

1 - Published, Other
2 - Published, Signed
3 - Published, Reasons Stated
4 - Unpublished, Other
5 - Unpublished, Signed
6 - Unpublished, Reasons Stated

-8 = Missing/invalid data

Values valid SY71 - Dec. 1975 (Opinions Only - All terminations)

1 - None
2 - By Judge
3 - Per Curium

-8 = Missing/invalid data

DETERMINATION OF ORIGINAL PROCEEDING
(OPDISP)

Valid only when **APPTYPE** = 6.

1 - Granted
2 - Denied
3 - Dismissed, Other (since SY85)

-8 = Missing/invalid data (including all non-original proceedings)

JOINED APPEAL
(JOINAPP)

1 - Cross Appeal
2 - Consolidated Appeal
3 - Lead Case (applies only to consolidated appeals) (since SY81)

-8 = Missing/invalid data (this value is also recorded for all single appeals)

JOINED APPEAL DOCKET NUMBER
(CONSDKT)

Valid beginning in SY81. Docket number of the initial case of a cross appeal or the lead case of a group of consolidated appeals (JOINAPP = 1 or 2).

The standard format used by the U.S. courts of appeals is YYNNNN, a six digit number with a two digit year and a four digit serially assigned number beginning with 1001 and extending to 9999. Starting in SY87, this number has been converted to a 7 character format by inserting a 0 between the year and sequence number portions (that is, YYNNNN becomes YY0NNNN). Prior to SY87, the 6 character value was left-justified in the 7 character field (that is, "YYNNNN "). Since the Docket Number (field 2) is carried in the format YY0NNNN, is it impossible to do a direct match between this field and Docket Number for data prior to SY87.

-8/0000000 represent missing/invalid data.

COMPLETE RECORD DATE
(CRECDATE)

Valid SY85 on: the date the original briefing notice or schedule is issued by the court of appeals. The date applies only to appeals terminated on the merits with Rule 28, F.R.A.P. briefs.

Valid SY71 - SY84: the date the complete record is filed in the court of appeals.

01/01/1900 represents missing/invalid data.

LAST BRIEF FILING DATE
(BRFILED)

Date the last formal written presentation of the case is received in the court of appeals prior to oral hearing or submission. Prior to SY85, it includes only briefs filed pursuant to Rule 28, F.R.A.P. Since

SY85, this formal written presentation includes briefs filed pursuant to Rule 28, F.R.A.P. or other briefs or memoranda which expound on the legal and factual elements of the case.

01/01/1900 represents missing/invalid data.

SUBMISSION DATE
(SUBDATE)

For appeals terminated on the merits without a hearing, the date the appeal is submitted on its merits to the first judge on the panel. Between SY81 and SY85, this date clearly pertained only to appeals submitted on the merits after briefs are filed pursuant to Rule 28, F.R.A.P. Prior to SY81, the only requirement may have been that the appeal is submitted to a panel for disposition on the merits and no oral argument is held. Documentation dated July 1975 does not explicitly bind this date to the existence of Rule 28 F.R.A.P. briefs.

01/01/1900 represents missing/invalid data.

ORAL HEARING DATE
(HEARDATE)

01/01/1900 represents missing/invalid data.

FINAL JUDGMENT DATE
(JUDGDATE)

01/01/1900 represents missing/invalid data.

OPINION
(OPINION)

Valid beginning in SY79.

6 - Dissenting opinion with no concurring opinion (panel and En Banc)
7 - Concurring opinion with no dissenting opinion (panel and En Banc)
8 - Both concurring and dissenting opinions and the case was not heard En Banc
9 - Both concurring and dissenting opinions and the case was heard En Banc

-8 = Missing/invalid data (since FY96)
0 = Missing/invalid data (SY71-FY95)

JUDGE CODE 1
(JDGCODE1)

AOUSC statistical code for one of the judges on a three-judge panel who did not write the majority opinion. If there was a dissenting opinion (**OPINION** = 6 or 8), this is the code of the judge who wrote the dissenting opinion. If the case was heard en banc, this field is blank.

This field is converted to missing (null) on public use files.

JUDGE CODE 2
(JDGCODE2)

AOUSC statistical code for one of the judges on a three-judge panel who did not write the majority opinion. If there is a concurring opinion (**OPINION** = 7 or 8), this is the code of the judge who wrote the concurring opinion. Prior to SY88, if the case was heard en banc, this field was left blank. Beginning in SY88, the en banc code (0000) is written in the **JDGCODE2** field, allowing en banc cases to be identified.

This field is converted to missing (null) on public use files except for en banc cases (**JDGCODE2** = 0000) from SY88 forward.

JUDGE CODE 3
(JDGCODE3)

AOUSC statistical code of the third judge who participated on the panel terminating the appeal or for a single judge presiding. The judge in this field wrote the majority opinion.

This field is converted to missing (null) on public use files.

TAPE YEAR
(TAPEYEAR)

Possible values are statistical year of termination (July 1 through June 30) for terminated appeals through SY91, or fiscal year of termination (October 1 through September 30) for terminated appeals from FY92 forward (FY92 includes July 1 through September 30, 1991).

PRO SE AT FILING
(PROSEFLE)

Valid beginning in August 1991.

0 - Neither party is pro se
1 - Appellant is pro se
2 - Appellee is pro se
3 - Both parties are pro se
N - Not pro se (valid August 1991 – FY92)
Y - Pro se (valid August 1991 – FY92)

-8 = Missing/invalid data

PRO SE AT TERMINATION
(PROSETRM)

Valid beginning in August 1991.

0 - Neither party is pro se
1 - Appellant is pro se

2 - Appellee is pro se
3 - Both parties are pro se
N - Not pro se (valid August 1991 – FY92)
Y - Pro se (valid August 1991 – FY92)

-8 = Missing/invalid data

STATUS CODE
(STATUSCD)

Valid beginning in FY01.

S - Pending record
L - Terminated record

Null = Missing data

AOUSC TERMINATION MONTH
(TRUSEDMO)

Valid beginning in FY96.

-8 represents missing/invalid data.

AOUSC TERMINATION YEAR
(TRUSEDYR)

Valid beginning in FY96.

-8 represents missing/invalid data.

TERMINATION DATE
(TERMDATE)

Valid from SY71 through SY81 and FY96 through FY97.

Entered when there is a petition for rehearing and the rehearing terminated within the same month, or where by court order the date of termination will be later than the date of final judgment, decree or order.

01/01/1900 or null represents missing/invalid data.

CERTIFICATE OF PROBABLE CAUSE DECISION
(CPC)

Valid SY73 - SY80.

1 - Granted

2 - Denied
3 - Both granted and denied

-8 = Missing/invalid
-9 or null = Not collected/invalid

CERTIFICATE OF PROBABLE CAUSE DECISION MADE BY (CPCDISC)

Valid SY73 - SY80.

1 - Circuit
2 - District
3 - Both circuit and district

-8 = Missing/invalid data
-9 or null = Not collected/invalid

FULL JUDGE PANEL (JDGPANEL)

Valid SY73 - SY80.

1 - Single Judge
2 - Full Panel

-8 = Missing/invalid data (during the valid time period, missing information was taken as an indicator the case was disposed of without judicial action)
-9 or null = Not collected

COUNSEL APPOINTED (CNSLAPP)

Valid SY73 - SY80.

1 - Yes
2 - No

-8 = Missing/invalid data
-9 or null = Not collected

COUNSEL CONTINUED (CNSLCONT)

Valid SY73 - SY80.

1 - Yes
2 - No

-8 = Missing/invalid data
-9 or null = Not collected

COUNSEL SOURCE – DISTRICT (CNSLDIS)

Valid SY73 - SY80.

1 - CJA
2 - Private
3 - Waived/None
4 - Other/Appointment
6 - Public/Community Defender

-8 = Missing/invalid data
-9 or null = Not collected

COUNSEL SOURCE – CIRCUIT (CNSLCIR)

Valid SY73 - SY80.

1 - CJA
2 - Private
3 - Waived/None
4 - Other/Appointment
6 - Public/Community Defender

-8 = Missing/invalid data
-9 or null = Not collected

STATISTICAL YEAR (NEWSYTRM)

Valid through FY95.

Null represents missing data.