

Federal Court Cases: Civil Terminations and Pending Database 1970-2012

Codebook

by Margo Schlanger, University of Michigan (Latest revision: February 23, 2015)

Introduction

The Administrative Office of the U.S. Courts (AO) annually releases, via the Inter-university Consortium for Political and Social Research, www.icpsr.com, a dataset describing each federal case terminated, and those cases that remain pending, along with codebooks. There has been some shifting over time in how the variables are coded, what those variables are titled, the normalized values, etc. The largest substantive changes occurred in 1979 and 1987, when many of the variables shifted enough that they are not easily analyzed across the time periods. More recently, the variables and their values have not changed much, but variable names have. (They used to have numbers, rather than names.) In this codebook, in order to facilitate adding in new data as it is released, I have used the variable names as they appear most recently.

In addition to annual codebooks, in which it is possible to trace these changes over time, the AO issued a 1985 Guide to Judicial Policies and Procedures, available [here](#)¹, and a similar document in 1999, the “Civil Statistical Reporting Guide,” available [here](#)². As of the date of this document, the most recent codebook is posted by ICPSR for the 2012 terminations data, [here](#)³.

For a number of projects, I have combined the annual terminations data into one large file, and then added the most recent pending data, as well. The large resulting file thus includes a record of every civil case filed in federal district courts since 1970. The combination has required some manipulation to line up the variables as they’ve changed names and permitted values. For details on that manipulation for 1970-2001 data, see the [Technical Appendix](#)⁴ to Margo Schlanger, *Inmate Litigation*, 116 Harv. L. Rev. 1555 (2003). For details on the most recent aggregation, which added in 2002-2012 terminations data, see the [Data Appendix](#)⁵ to Margo Schlanger, *Trends in Prisoner Litigation, as the PLRA Enters Adulthood*, 5 U.C. IRVINE L. REV. (2015).

The ICPSR, at the instruction of the Bureau of Justice Statistics, which manages the archiving process for the AO, has barred users from reposting the data. Instead, it must be obtained from ICPSR by each researcher. Accordingly, I cannot post the data themselves. In the interest of transparency and replicability (and to help researchers avoid repeating work I have already done), I post instead, this codebook. It does three things:

- 1) It sets out the variable names and descriptions for the AO data, aggregating the many codebooks and details for the many datasets from 1970-2012.

¹ <http://www.law.umich.edu/facultyhome/margoschlanger/Pages/Trends.aspx>.

² https://www.law.umich.edu/facultyhome/margoschlanger/Documents/Publications/Using_Court_Records_Appendix/Civil_Statistical_Reporting_Guide.pdf.

³ http://www.icpsr.umich.edu/cgi-bin/file?comp=none&study=34881&ds=4&file_id=1147647&path=ICPSR.

⁴ <https://www.law.umich.edu/facultyhome/margoschlanger/Pages/InmateLitigationAppendix.aspx>.

⁵ <https://www.law.umich.edu/facultyhome/margoschlanger/Pages/Trends.aspx>.

- 2) It sets out and explains the origins of additional variables I have created from that raw data, to use for various purposes—sometimes to normalize across versions of variable, other times to transform the data into something more useful for my purposes.
- 3) It includes raw frequencies for each variable.

AO variables are in bold; non-AO variables are also bold, but in *red and italicized*. All variables are presented in alphabetical order by variable name. The parenthetical note that follows the AO variables comes from the AO codebooks; it is a brief variable description.

Composition of dataset

These data are archived by the ICPSR, which assigns to them a study number (**study**, in my dataset). Every update to each is reflected in a study date (**study_date**, in my dataset). They are released annually; each release more or less for a given termination year. The releases are grouped by **tapeyear**.

The relevant studies are in the following table. I've also included the current most-recent study dates. Note, however, that the data I have used are almost invariably *not* the versions indicated by the study dates. (I include the study date variable so that I have a place to keep that date in the future if I redo the aggregation work.)

tapeyear	study	study_date	N
<2001	8429	May 22, 2012	6,003,509
2001	3415	Apr. 25, 2002	248,174
2002	4059	June 19, 2002	259,537
2003	4026	Oct. 8, 2004	253,015
2004	4348	June 17, 2004	252,761
2005	4382	Nov. 4, 2005	271,753
2006	4685	Mar. 17, 2006	273,193
2007	22300	Mar. 15, 2007	239,678
2008	25002	June 18, 2008	234,121
2009	29661	June 29, 2009	263,703
2010	30401	Nov. 26, 2012	309,759
2011	33622	Jan. 8, 2013	303,053
2012	34881	Mar. 18, 2014	271,572
2099 (pending)	29281	Mar. 19, 2014	274,365
TOTAL			9,458,193

A note on my own use of these data. The study date for study no. 8429 is the most recent updated version, but I used an earlier version (and neglected to record its update date). In addition, when I looked at these ICPSR data for 2009-2012 and pending, there were very significant omissions from the datasets. I obtained corrected data from the Administrative Office directly. It is my understanding that those corrections were being made with ICPSR as well, but I have not gone back and re-obtained data from ICPSR, preferring to stick with the versions from the AO. The study dates for those tapeyears suggest that perhaps the corrections were not made: I advise anyone using those data to check carefully to ensure that they are complete.

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Note on variables and frequencies. There are several variables for which the data somehow went missing, over the years I assembled the aggregated file. They are listed in this codebook, but I currently have only partial data for them, as marked. To correct these omissions, I would need to go back to the original data and reassemble; this would be a good deal of work, and I have not needed these particular variables, so I haven't done that.

They are:

arbit: Collected 1997 to present. I have only 2005-present in the aggregated files (apparently only partial data in 2008).

def: Collected every year, but masked by ICPSR. I have 1970-2000, but in individual files, not in the aggregated dataset. In the aggregated dataset, I have only 2009-.

ifp: 2001 to present. But I have only 2006- in the aggregated dataset.

plt: Same as def

residenc: 1970 to present. But I have only 2005-present in the aggregated dataset.

transoff: 1997 to present. But I have only 2005-present in the aggregated dataset.

transorg: Same as transoff.

trmarb: Same as transoff.

amtrec

(Monetary Judgment Amount Awarded) Dollar amount received, in thousands. Coded 9999 for amounts greater than \$9,999,000.

Total cases with values: 759,341

arbit

(arbitration at filing) Collected 1997 to present. I have only 2005-present in the aggregated files (apparently only partial data in 2008). This variable is used only by the courts participating in the Formal Arbitration Program. There are approximately 20. It is not used for any other purpose. It indicates the type of arbitration participation.

-8	Missing	1,889,075
.	Missing (in 2008, only)	230,814
M	Mandatory	6,190
V	Voluntary	6,714
E	Exempt	35,067
Y	Yes, but type unknown	1,584

circuit

(circuit) The circuit in which the case was filed. Adjusted (by me) for Eleventh Circuit creation.

0	District of Columbia	135,155
1	First Circuit	315,784
2	Second Circuit	861,923
3	Third Circuit	1,031,986
4	Fourth Circuit	780,934
5	Fifth Circuit	1,179,954
6	Sixth Circuit	966,723
7	Seventh Circuit	707,086
8	Eighth Circuit	589,745
9	Ninth Circuit	1,411,088
10	Tenth Circuit	448,487
11	Eleventh Circuit (includes both before and after 1982)	1,029,328
-8	Missing	0

class_allegation

Class action allegation: this is a recode based on classact and trclact. Available 1974-

0	No class action allegation, or missing	8,978,119
1	Class action allegation	119,636
.	Missing (tapeyear < 1974)	360,438

class_allegation == 1 if:

(classact == 1, 2, or 3) OR (trclact == 1, 2, or 3)

class_allegation == . if tapeyear < 1974
 Else == 0

class_result

Class action resolution. Available 1979-. This is a summary recode of **trclact**, with added data from **classact**.

0	No class allegation known	8,978,119
1	allegation made, outcome unknown	24,900
2	allegation dismissed	74,624
3	allegation affirmed	20,112
.	Missing	360,438

class_result = trclact, except:

class_result = 1, if classact = 1, 2, or 3, and trclact ~= 1, 2, or 3

class_result = . if tapeyear < 1974

class_result = 0 if classact = -8 or 0, > 1973

classact

(class action status on filing) Involves an allegation by the plaintiff that the complaint meets the prerequisites of a "Class Action" as provided in Fed. Rule Civ. Pro. 23.

-8	No allegation of class action made, 2005 -	2,388,851
0	No allegation of class action made, 1973-1978	640,221
1	Allegation of class action , 1974-1978, 1996-	79,933
2	Class allegation dismissed, 1975-1978 (not reliable)	26
3	Class allegation affirmed, 1974-1978 (not reliable)	17
.	Missing	6,349,145

Note: all values are missing for 1970-1972, 1979-1995.

county

(County of Residence)

The code for the county of residence of the first listed plaintiff. If the U.S. Government is the plaintiff, the county listed is that of the first listed defendant. If a land condemnation case, the code is associated with the tract of land. If the location is within the U.S. but, outside the home state, the code is 88888. If the location is outside the U.S. the code is 99999.

NOTE: For full County Codes refer to ICPSR Codebooks (e.g., the 2012 codebook)

0	Presumably, this is a missing value	290,420
1-78030	See ICPSR Codebooks	7,770,976
88888	Inside the U.S., but outside the home state	1,331,328
99999	Outside the U.S.	65,469
	Missing	1,248,332

def

(Defendant) This information has, in recent years, been shielded by the ICPSR, at the direction of the Federal Judicial Center. It is included in my aggregate file for 2009-2012. (I also have it, separately, for 1970-2000) If it was equal to a string of 9s, I made it blank.

demanded

(Monetary Amount Demanded). Numeric, capped at four digits. The monetary amount sought by plaintiff (in thousands). Money amounts less than \$500 appear as 1. Dollar figure is rounded to the nearest thousand. (eg, \$1,234.56 would appear as a single digit (1). Courts have not always reported this field in thousands of dollars, therefore data may not be accurate.

1- 9998		2,356,149
9999	\$9,999,000 or greater	171,128
Missing		6,930,916

disp70

(Disposition of Case, 1970-1978). The manner in which the case was disposed of by the district court. This variable is titled, simply, **disp**, in the raw AO data of the relevant tapeyears.

0	transferred to another district	71,222
1	default judgment	5,474
2	consent judgment	6,208
3	dismissed for want of prosecution	1,986
4	dismissed by action of parties	44,055
5	remanded to state court	994
6	judgment for plaintiff	9,889
7	judgment for defendant	27,082
8	judgment for both or other party	81
9	outcome unknown	7
Total		166,998

disp79

(Disposition of Case, 1979-1986) The manner in which the case was disposed of by the district court. This variable is titled, simply, **disp**, in the raw AO data of the relevant tapeyears.

0	transferred to another district	31,366
1	remanded	53,983
2	dismissed for want of prosecution	57,754
3	dismissed discount settled w/drawn	801,913
4	judgment on default	202,330
5	judgment on consent	105,446
6	judgment on motion before trial	270,982
7	judgment on jury verdict	26,995
8	judgment on directed verdict	4,136
9	judgment on court trial	47,363
10	judgment on other	42,780
11	statistical closing	116
Total		1,645,164

disp87

(Disposition of Case, 1987-). The manner in which the case was disposed of by the district court. This variable is titled, simply, **disp**, in the raw AO data of the relevant tapeyears.

0	Transferred to another district	178,425
1	Remanded to state court	188,584
2	Dismissed for want of prosecution	225,416
3	Dismissed for lack of jurisdiction	313,088
4	Judgment on default	346,762
5	Judgment on consent	136,182
6	Judgment on motion before trial	885,491
7	Judgment on jury verdict	83,264
8	Judgment on directed verdict	6,711
9	Judgment on court trial	54,054
10	Multi-district litigation transfer	186,313
11	Remanded to us agency	121,097
12	Dismissed: voluntarily	647,957
13	Dismissed: settled	1,564,420
14	Dismissed: other	1,172,693
15	Judgment on award of arbitrator	6,966
16	Judgment on trial de novo after arbtrt	78
17	Judgment on other	282,679
18	Statistical closing	128,220
19	[MJ] appeal: decision affirmed	58,844
20	[MJ] appeal: decision reversed	27,911
21	Stayed pending bankruptcy	7,411
Total		6,622,566

Note: In the AO data, the value 21 does not exist. From 2005-, the value 16 was reassigned the meaning “stayed pending bankruptcy.” So I recoded this to be 21, and assigned the new value label.

disp05

(Disposition of Case, 2005-). The manner in which the case was disposed of by the district court. This variable is titled, simply, **disp**, in the raw AO data of the relevant tapeyears. As described under **disp87**, there was a minor change in variable labels in 2005. I merged disp for 2005 to 2012 into disp87. But to also preserve the original data, I kept, as well, a variable **disp05**

distnum

District Number. Recoding of the AO’s “**district**” variable: non-numeric values changed to numeric, and multiplied by 10, to preserve them as integers.

0	Maine	24,430	50	Connecticut	94,115
10	Massachusetts	156,104	60	New York - Northern	62,046
20	New Hampshire	24,740	70	New York - Eastern	219,414
30	Rhode Island	29,677	80	New York - Southern	410,639
40	Puerto Rico	80,833	90	New York - Western	59,700

100	Vermont	16,009	530	Illinois - Central	47,069
110	Delaware	35,245	540	Illinois - Southern	60,614
120	New Jersey	229,115	550	Indiana - Northern	70,437
130	Pennsylvania - Eastern	534,384	560	Indiana - Southern	99,773
140	Pennsylvania - Middle	86,446	570	Wisconsin - Eastern	56,095
150	Pennsylvania - Western	116,182	580	Wisconsin - Western	35,256
160	Maryland	149,945	600	Arkansas - Eastern	86,714
170	North Carolina - Eastern	60,304	610	Arkansas - Western	38,319
180	North Carolina - Middle	40,696	620	Iowa - Northern	24,158
190	North Carolina - Western	42,425	630	Iowa - Southern	40,807
200	South Carolina	165,363	640	Minnesota	121,285
220	Virginia - Eastern	159,496	650	Missouri - Eastern	100,996
230	Virginia - Western	71,738	660	Missouri - Western	99,824
240	West Virginia - Northern	25,997	670	Nebraska	45,475
250	West Virginia - Southern	64,970	680	North Dakota	14,017
260	Alabama - Northern	153,254	690	South Dakota	18,150
270	Alabama - Middle	53,564	700	Arizona	122,868
280	Alabama - Southern	42,921	710	California - Northern	240,606
290	Florida - Northern	53,454	720	California - Eastern	124,882
300	Florida - Middle	229,959	730	California - Central	414,546
310	Florida - Southern	242,463	740	California - Southern	93,825
320	Georgia - Northern	160,005	750	Hawaii	34,951
330	Georgia - Middle	45,712	760	Idaho	25,623
340	Georgia - Southern	47,996	770	Montana	28,857
350	Louisiana - Eastern	217,458	780	Nevada	74,117
355	Louisiana - Middle	50,491	785	Alaska	21,851
360	Louisiana - Western	104,249	790	Oregon	87,109
370	Mississippi - Northern	44,629	800	Washington - Eastern	29,310
380	Mississippi - Southern	94,131	810	Washington - Western	106,841
390	Texas - Northern	183,140	820	Colorado	101,986
400	Texas - Eastern	117,963	830	Kansas	76,447
410	Texas - Southern	246,467	840	New Mexico	57,383
420	Texas - Western	116,246	850	Oklahoma - Northern	40,326
430	Kentucky - Eastern	75,782	860	Oklahoma - Eastern	26,115
440	Kentucky - Western	59,707	870	Oklahoma - Western	81,416
450	Michigan - Eastern	238,875	880	Utah	49,442
460	Michigan - Western	65,388	890	Wyoming	15,372
470	Ohio - Northern	226,671	900	District of Columbia	135,155
480	Ohio - Southern	121,832	910	Virgin Islands	30,614
490	Tennessee - Eastern	69,564	920	Canal Zone	5,180
500	Tennessee - Middle	56,315	930	Guam	4,029
510	Tennessee - Western	52,589	940	Northern Mariana Islands	1,673
520	Illinois - Northern	337,842		Missing	0

district

(District). Note: I did not preserve the data in this variable, except 2005-. The AO's original "district" values.

00	Maine	43	Kentucky - Eastern
01	Massachusetts	44	Kentucky - Western
02	New Hampshire	45	Michigan - Eastern
03	Rhode Island	46	Michigan - Western
04	Puerto Rico	47	Ohio - Northern
05	Connecticut	48	Ohio - Southern
06	New York - Northern	49	Tennessee - Eastern
07	New York - Eastern	50	Tennessee - Middle
08	New York - Southern	51	Tennessee - Western
09	New York - Western	52	Illinois - Northern
10	Vermont	53	Illinois - Central
11	Delaware	54	Illinois - Southern
12	New Jersey	55	Indiana - Northern
13	Pennsylvania - Eastern	56	Indiana - Southern
14	Pennsylvania - Middle	57	Wisconsin - Eastern
15	Pennsylvania - Western	58	Wisconsin - Western
16	Maryland	60	Arkansas - Eastern
17	North Carolina - Eastern	61	Arkansas - Western
18	North Carolina - Middle	62	Iowa - Northern
19	North Carolina - Western	63	Iowa - Southern
20	South Carolina	64	Minnesota
22	Virginia - Eastern	65	Missouri - Eastern
23	Virginia - Western	66	Missouri - Western
24	West Virginia - Northern	67	Nebraska
25	West Virginia - Southern	68	North Dakota
26	Alabama - Northern	69	South Dakota
27	Alabama - Middle	7-	Alaska
28	Alabama - Southern	70	Arizona
29	Florida - Northern	71	California - Northern
3A	Florida - Middle	72	California - Eastern
3C	Florida - Southern	73	California - Central
3E	Georgia - Northern	74	California - Southern
3G	Georgia - Middle	75	Hawaii
3J	Georgia - Southern	76	Idaho
3L	Louisiana - Eastern	77	Montana
3N	Louisiana - Middle	78	Nevada
36	Louisiana - Western	79	Oregon
37	Mississippi - Northern	80	Washington - Eastern
38	Mississippi - Southern	81	Washington - Western
39	Texas - Northern	82	Colorado
40	Texas - Eastern	83	Kansas
41	Texas - Southern	84	New Mexico
42	Texas - Western	85	Oklahoma - Northern

86	Oklahoma - Eastern	91	Virgin Islands
87	Oklahoma - Western	93	Guam
88	Utah	94	Northern Mariana Islands
89	Wyoming		
90	District of Columbia		

djoined

(date issue joined) I have this only for the datasets I received from the AO, 2009-2012. It is a string variable, format %rdD_m_Y. The 2012 codebook notes “Data rarely entered in the past. This field is no longer being used.” That seems to be incorrect, but it does seem to hold very unreliable data, based on comparing it with **procprog87**.

docket

(docket) The number assigned by the clerks’ office; consists of 2-digit docket year (usually calendar year in which the case was filed) and 5-digit sequence number.

docketyr

Docket year stored numerically, and in a 4-digit format.

filedate

(Filing Date) Date the case was filed in the district court (in a string format, the details of which have varied over the tapeyears). Corrections have been made from original data to eliminate obviously incorrect data. In my dataset, this is made consistent and filled in for all tapeyears.

filedy

Day of the month the case was filed, pulled from filedate. Corrections made from original data, to deal with impossible values.

1	336,614	12	316,840	23	312,709
2	312,014	13	346,540	24	293,473
3	305,697	14	311,813	25	277,819
4	275,436	15	320,772	26	300,644
5	310,260	16	313,072	27	310,713
6	310,225	17	313,920	28	310,537
7	318,186	18	307,556	29	298,327
8	311,420	19	309,435	30	321,163
9	317,516	20	315,100	31	142,865
10	309,162	21	314,748		
11	291,405	22	322,212	Total	9,458,193

filemo

The month in which the case was filed in the district court.

1	735,402	6	826,625	11	731,217
2	724,543	7	809,619	12	748,131
3	821,056	8	868,486	Total	9,458,193
4	794,020	9	795,632		
5	809,782	10	793,680		

fileyr

The year in which the case was filed in the district court. Some corrections have been made for implausible values, using the *docketyr*, and other information. (For details, see *join_filings.do*.)

1931	1	1972	96,925	1993	228,047
1952	1	1973	99,957	1994	234,626
1953	18	1974	110,383	1995	254,502
1954	5	1975	126,633	1996	261,351
1955	14	1976	128,862	1997	273,840
1956	20	1977	135,508	1998	251,892
1957	33	1978	144,219	1999	258,669
1958	56	1979	162,910	2000	254,063
1959	157	1980	174,789	2001	264,712
1960	159	1981	190,195	2002	253,657
1961	280	1982	223,524	2003	256,507
1962	440	1983	256,249	2004	275,581
1963	943	1984	259,871	2005	243,716
1964	1,442	1985	278,835	2006	277,407
1965	2,943	1986	241,587	2007	245,950
1966	6,295	1987	230,880	2008	268,572
1967	13,931	1988	235,870	2009	279,215
1968	30,174	1989	225,281	2010	292,290
1969	72,535	1990	207,061	2011	289,975
1970	91,597	1991	217,328	2012	203,983
1971	93,794	1992	227,933	Total	9,458,193

final

A dichotomous variable for whether the coded disposition (from **disp**) is final.

0	Not a final outcome	1,120,999
1	Final outcome	8,337,194
	Missing	0

final	Source variable	Source value (label)
0	disp87	0 (transferred to another district) 1 (remanded to state court) 10 (multi-district litigation transfer) 18 (statistical closing) 21 (stayed pending bankruptcy)
	disp79	0 (transferred to another district) 1 (remanded) 11 (statistical closing)

	disp70	1 (transferred to another district, 5 (remanded to state court)
	year	2099 (pending)
1	Otherwise	

fyfiling

Fiscal year in which the case was filed. The fiscal year runs 10/1 to 9/30. So Fiscal Year 2000 started in 10/1/1999.

1931	1	1972	96,966	1993	227,591
1952	1	1973	98,869	1994	234,053
1953	12	1974	106,531	1995	243,140
1954	10	1975	122,422	1996	267,422
1955	10	1976	130,026	1997	270,167
1956	18	1977	133,684	1998	255,484
1957	33	1978	140,450	1999	258,020
1958	54	1979	160,258	2000	255,547
1959	72	1980	171,640	2001	247,414
1960	213	1981	185,503	2002	272,629
1961	234	1982	212,468	2003	250,559
1962	409	1983	251,840	2004	276,866
1963	809	1984	259,361	2005	251,062
1964	1,250	1985	280,392	2006	260,070
1965	2,466	1986	245,647	2007	258,162
1966	5,142	1987	232,717	2008	270,182
1967	11,609	1988	236,585	2009	275,892
1968	24,918	1989	224,414	2010	281,892
1969	60,933	1990	213,960	2011	289,258
1970	90,243	1991	209,724	2012	278,442
1971	93,319	1992	229,128	Total	9,458,193

fyterm

Fiscal year of termination. The fiscal year runs 10/1 to 9/30. So Fiscal Year 2000 started in 10/1/1999.

1959	1	1970	82,490	1981	182,389
1960	1	1971	88,970	1982	198,199
1961	2	1972	96,277	1983	222,189
1962	5	1973	97,037	1984	251,636
1963	8	1974	99,298	1985	272,498
1964	33	1975	104,000	1986	257,228
1965	80	1976	113,009	1987	236,302
1966	131	1977	119,560	1988	237,564
1967	237	1978	130,415	1989	227,878
1968	476	1979	146,479	1990	215,726
1969	18,695	1980	164,428	1991	223,467

1992	236,533	2000	259,637	2008	234,121
1993	227,595	2001	248,174	2009	263,703
1994	228,361	2002	259,537	2010	309,759
1995	229,820	2003	253,015	2011	303,053
1996	250,387	2004	252,761	2012	271,572
1997	249,641	2005	271,753	2100 (pending)	
1998	262,301	2006	273,193		274,365
1999	272,526	2007	239,678	Total	9,458,193

id

Identification Number. This is an observation identifier used by the Administrative Office, within tapeyears. I have it only for those data I got directly from the AO, 2009- .

ifp

(fee status) In forma pauperis status. Collected since 2001, but I have only 2006- in the aggregated dataset. I have transformed this from the AO's string variable to an integer, as described.

AO value	recode	label	N
"-8" or ""	0	missing/no	9,169,492
"FP"	1	yes	288,701

judgefor

judgment recode, 1979-. Cases disposed of by entry of a final judgment in favor of:

1	Plaintiff	1,054,025
2	Defendant	1,177,182
3	Both	69,281
4	Not applicable	6,241,612
.	Year < 1979	916,093

jforsum

Judgment For Summary (1979-) Who the judgment in the case is for. This is based on **judgment**.

1	Plaintiff or both	1,121,918
2	Defendant	1,176,495
4	Unknown or inapplicable	4,249,757
-9	Data not collected this tapeyear	916,093

jforsum		Source (label)	
1	Plaintiff or both	judgment == 1 judgment == 3	Plaintiff Both Plaintiff and Defendant
2	Defendant	judgment == 2	Defendant
4	Unknown or inapplicable	judgment == 4 OR disp87 == 18	Unknown or not applicable Statistical closing

-9	Data not collected this tapeyear	tapeyear < 1979	
----	----------------------------------	-----------------	--

judgment

(Judgment) (available for 1979-). Cases disposed of by entry of a final judgment in favor of:

0	??? (Probably not applicable)	
1	Plaintiff	1,054,025
2	Defendant	1,177,182
3	Both	69,281
4	???	
	Missing	0

Note: the AO Codebook lists values of:

- 8 Unknown
- 1 Plaintiff
- 2 Defendant
- 3 Both

But the data includes 0 and 4, and no -8s. In order to preserve the original data, I've recoded it into **jfor**; see that entry for a description.

juris

(jurisdiction) The basis for the U.S. District Court jurisdiction in the case. The AO codebook states "This code is used in conjunction with appropriate nature of suit code."

1	US [government] plaintiff	1,089,180
2	US [government] defendant	1,298,225
3	Federal question	4,629,435
4	Diversity of citizenship	2,401,383
5	Local question	39,969
.	missing	1

jurisum

Jurisdiction summary: a recode of **juris** to summarize the basis of jurisdiction.

0	Non-federal parties	7,070,788
1	Federal defendant or plaintiff	2,387,405
-8	Missing	0

Jurisum		Juris	
1	Federal defendant or plaintiff	1	US government plaintiff
		2	US government defendant
0	Non-federal parties	3	federal question
		4	diversity of citizenship
		5	local question

jury

Categorical variable provided by the AO (but not part of ICPSR data), in 2009+ datasets. I don't know what the values mean.

-8	91,938
7	1
B	101,650
D	69,442
N	745,667
P	413,752
Y	2

maginv

(Magistrate Involvement) Used 1981-1985. Level of involvement of the U.S. magistrate.

1	Consent of parties to magistrate judgment with appeal directly to U.S. Court of Appeals	2,474
2	Consent of parties to magistrate judgment with appeal to U.S. District Court	908
3	Special master reference	13,940
4	All pretrial matters, including dispositive motions	11,570
5	Report and recommendation on dispositive motions	25,505
6	All pretrial matters, except dispositive motions	10,699
7	Full pretrial/settlement conferences	3,642
8	Non-dispositive motions	9,259
9	No involvement of magistrate	1,017,768
	Total (no missings in applicable years)	1,095,765

mdldock

(multidistrict litigation docket) The judicial panel on multidistrict litigation assigns an multidistrict litigation number to all cases approved and consolidated as MDL matters. These are four-digit numbers; the data include about 250 of them, nearly for cases terminated after 2009, or still pending.

noj

(Nature of the Judgment). The AO notes: "Cases disposed of by an entry of a final judgment. These cases should only be present for disposition involving a judgement."

0	No monetary award	2,094,889
1	Monetary award only	566,846
2	Monetary award and other	153,344
3	Injunction	30,820
4	Forfeiture/foreclosure/condemnation, etc.	178,048
5	Costs only (Not included in 1970-1971)	93,949
6	Costs and attorney fees (Not included in 1970-1971)	9,662
-8	Missing or out-of-range	1,486,134
	Missing	4,844,501

Note: Missing values are to be expected for cases that are pending or were resolved without a judgment.

nojsum

Nature of judgment, summary (1979-). This variable summarizes noj (nature of judgment)

nojsum	Label	noj	N
-9	Data not reliably collected this tapeyear	All, if tapeyear < 1979, or pending	1,190,458
0	No award coded	Missing (.), out-of-range (-8), or no monetary award (0)	7,257,351
1	Money award	Monetary award only (1), or Monetary award and other (2)	706,829
3	Injunction	Injunction (3)	28,914
4	Foreiture etc.	Forfeiture, foreclosure, condemnation, etc. (4)	171,030
5	Costs, with or w/o attorneys fees	Costs only (5) Costs and attorney fees (6)	103,611

nojjudsum

No judgment summary (1979-). Dichotomous variable reporting if case proceeded to final judgment. This is calculated from **disp79** and **disp87**.

0	Does not proceed to final judgment	1,169,880
1	Proceeds to final judgment	7,372,220
-8	Data not collected	916,093

New variable (nojjudsum)

-8	Data not collected
1	Proceeds to final judgment

Old variable (disp79, disp87 and tapeyear)

tapeyear:	tapeyear < 1979
disp79 ≠	0 transferred to another district AND 1 remanded AND 11 statistical closing AND
disp87 ≠	0 transferred to another district AND 1 remanded to state court AND 10 multi-district litigation transfer AND 11 remanded to us agency AND 18 statistical closing AND 21 [maj] appeal: decision reversed

0 Others

nos

(nature of suit) A 3-digit code for the nature of the action filed; from the civil cover sheet.

110	Insurance	293,445
120	Marine Contract Actions	142,242
130	Miller Act	37,168
140	Negotiable Instruments	94,969
150	Overpayments & Enforcement Of Judgments	74,439
151	Overpayments under the Medicare Act	3,940
152	Recovery of Defaulted Student Loans	186,793
153	Recovery of Overpayments of Vet Benefits	235,053
160	Stockholder's Suits	10,067
190	Other Contract Actions	729,324

195	Contract Product Liability	13,663
196	Contract Franchise	2,778
210	Land Condemnation	49,072
220	Foreclosure	215,428
230	Rent, Lease, Ejectment	13,115
240	Torts to Land	17,701
245	Tort Product Liability	4,170
290	Other Real Property Actions	43,591
310	Airplane Personal Injury	27,958
315	Airplane Product Liability	7,194
320	Assault, Libel, and Slander	32,023
330	Federal Employers' Liability	68,867
340	Marine Personal Injury	159,743
345	Marine - Product Liability	2,804
350	Motor Vehicle Personal Injury	254,305
355	Motor Vehicle Product Liability	20,026
360	Other Personal Injury	321,922
362	Medical Malpractice	46,882
365	Personal Injury -Product Liability, Personal Injury - Health Care/Pharmaceutical; Personal	464,005
367	Injury/Product Liability	6,797
368	Asbestos Personal Injury - Prod.Liab.	361,822
370	Other Fraud	79,244
371	Truth In Lending	14,283
375	False Claims Act	126
380	Other Personal Property Damage	79,987
385	Property Damage -Product Liability	16,737
400	State Re-Appportionment	561
410	Antitrust	42,574
422	Bankruptcy Appeals Rule 28 USC 158	109,097
423	Bankruptcy Withdrawal 28 USC 157	23,828
430	Banks And Banking	15,921
440	Other Civil Rights	519,651
441	Civil Rights Voting	7,765
442	Civil Rights Jobs	502,964
443	Civil Rights Accommodations	26,335
444	Civil Rights Welfare	5,464
445	Civil Rights, Ada Employment	10,154
446	Civil Rights, ADA Other	15,414
448	Civil Rights, Education	126
450	Interstate Commerce	59,407
460	Deportation	6,660
462	Naturalization, Petition For Hearing of Denial	2,032
463	Habeas Corpus - Alien Detainee	3,653
465	Other Immigration Actions	3,846
470	Civil (RICO)	22,588
480	Consumer Credit	44,747
490	Cable/Satellite TV	7,346
510	Prisoner Petitions -Vacate Sentence	181,866
520	Parole Board Review	3,431
530	Prisoner Petitions -Habeas Corpus	652,934

535	Habeas Corpus: Death Penalty	4,860
540	Prisoner Petitions -Mandamus and Other	40,779
550	Prisoner - Civil Rights	759,074
555	Prisoner - Prison Condition	146,239
560	Civil Detainee	101
610	Agricultural Acts	3,427
620	Food and Drug Acts	16,986
625	Drug Related Seizure of Property	31,542
630	Liquor Laws	730
640	Railroad and Trucks	647
650	Airline Regulations	2,059
660	Occupational Safety/Health	3,157
690	Other Forfeiture and Penalty Suits	70,571
710	Fair Labor Standards Act	113,544
720	Labor/Management Relations Act	106,928
730	Labor/Management Report & Disclosure	6,910
740	Railway Labor Act	6,851
751	Family and Medical Leave Act	291
790	Other Labor Litigation	51,846
791	Employee Retirement Income Security Act	272,148
810	Selective Service	1,743
820	Copyright	91,213
830	Patent	77,976
840	Trademark	104,362
850	Securities, Commodities, Exchange	95,442
860	Social Security	48,543
861	Medicare	5,650
862	Black Lung	12,848
863	D.I.W.C./D.I.W.W.	276,158
864	S.S.I.D.	161,430
865	R.S.I.	18,924
870	Tax Suits	85,442
871	IRS 3rd Party Suits 26 USC 7609	7,475
875	Customer Challenge 12 USC 3410	743
890	Other Statutory Actions	312,903
891	Agricultural Acts	12,948
892	Economic Stabilization Act	1,504
893	Environmental Matters	31,979
894	Energy Allocation Act	1,162
895	Freedom of Information Act of 1974	14,309
896	Arbitration	223
899	APA/Review or Appeal of Agency Decision	124
900	Appeal of Fee - Equal Access to Justice	163
910	Domestic Relations	8,595
920	Insanity	2,204
930	Probate	1,532
940	Substitute Trustee	124
950	Constitutionality of State Statutes	14,152
990	Other	5,334
992	Local Jurisdictional Appeal	74
999	Miscellaneous	1

-8 Missing

0

Note: There are a very few cases—under 25,000—for which the nature of suit code is not included in the AO codebook (or in Bloomberg, which also has a list). Some may be typos, but others are probably not. The large majority of these were filed in the 1970s. A new variable, *unk_nos* marks them (more details under that variable).

NOS Code	N	Filing Years of cases	Guess re. subject matter (from NOS code neighbors)
42	2	1986, 1990	
50	2	1989, 1990	
100	316	1966-1973	
112	1	1968	
114	1	1972	
122	1	1972	
125	3	1974, 1975, 1976	
141	1	1972	
170	1	1968	
191	1,729	1961-1982	Contract
192	67	1962-1977	Contract
193	751	1966-1982	Contract
241	1	1972	Tort
341	2	1971, 1972	Marine, Tort
351	1	1973	Motor Vehicle, Tort
361	682	1967-1981	Personal injury
390	1	1970	
416	1	1970	
420	5,741	1965-1985	
421	1,185	1975-1984	Bankruptcy
451	1	1863	
461	606	1962-1976	Immigration
711	3	1971, 1972	Labor
750	63	1967-1982	
876	1	1971	
880	1,169	1966-1980	
970	11,825	1967-1982	
971	2	1971, 1972	
991	17	1978-1982	
TOTAL	24,176		

nos_prisoner

Prisoner nature of suit. Set at 1 if **nos** == 550 or 555.

0	Not a prisoner civil rights case	8,552,880
1	Prisoner civil rights case	905,313

nossum

Nature of suit summary. Derived from **nos**.

1	Contract	1,378,305
2	Torts (nonproduct)	1,135,570
3	Product liability	897,218
4	Civil rights	574,755
5	Civil rights employment	513,118
6	Inmate civil rights	905,313
7	Labor and employment	558,518
8	Statutory actions	1,432,775
9	U.S. Plaintiff	908,382
10	Habeas, other quasi-criminal	890,631
11	Bankruptcy	133,049
12	Immigration	9,531
13	Other	121,028
	Total	9,458,193

Value	Label	nos (Source)
1	Contract	110, 120, 130, 140, 150, 151, 190, 196
2	Torts (nonproduct)	160, 240, 310, 320, 330, 340, 350, 360, 362, 370, 371, 380, 470
3	Product liability	195, 245, 315, 345, 355, 365, 367, 368, 385
4	Civil rights	440, 441, 443, 444, 446, 448
5	Civil rights employment	442, 445
6	Prisoner civil rights	550, 555
7	Labor and employment	710, 720, 730, 740, 751, 790, 791
8	Statutory actions	375, 410, 430, 450, 480, 810, 820, 830, 840, 850, 860, 861, 862, 863, 864, 865, 875, 890, 891, 892, 893, 894, 895, 900
9	U.S. Plaintiff	152, 153, 210, 220, 610, 620, 625, 630, 640, 650, 660, 690, 870, 871
10	Habeas, other quasi-criminal	460, 510, 520, 530, 535, 540, 560
11	Bankruptcy	422, 423, 940
12	Immigration	462, 463, 465
13	Other	-8, 230, 290, 400, 490, 896, 899, 910, 920, 930, 950, 990, 992, 999 Or <i>unk_nos</i> (unknown nature of suit) == 1 I.e. nos==42, 50, 100, 112, 114, 122, 125, 141, 170, 191, 192, 193, 241, 341, 351, 361, 390, 416, 420, 421, 451, 461, 711, 750, 876, 880, 970, 971, 991

obsnum

Observation number: a unique identification number for each case. Starts with 1 in 1970 and goes up to 9,458,203 in the 2012 pending. This is in order by district and terminated date.

office

(office) The code that designates the office within the district where the case is filed.

-	3
0	142,142
1	2,884,065
2	2,694,600
3	1,575,939
4	837,263
5	556,498
6	344,727
7	136,699
8	202,198
9	82,181
a	1,422
b	1
d	455
[missing]	0

origin

(origin) The source of the case filing.

1	Original proceeding	7,602,735
2	Removed from state court	986,808
3	Remanded from appellate court	38,024
4	Reinstated or reopened	324,608
5	Transferred from another district	167,305
6	Multi-district Litigation (Transfer by order of Panel for Multi-district Litigation)	314,694
7	Appeal of Magistrate judgment to a district judge (since 1981)	2,432
8	2nd reopening (since 1983)	19,180
9	3rd reopening (since 1983)	1,868
10	4th reopening (since 1983)	330
11	5th reopening (since 1983)	190
12	6th reopening (since 1983)	13
.	Missing	6

origin2

A source summary, labeling cases' initial and subsequent appearances in the dataset.

0	initial appearance (or unknown)	8,591,975
1	subsequent appearance	866,218

origin2	origin
0	initial appearance (or unknown)
	-8 (missing or out-of-range)
	1 (original proceeding)

		2 (removed from state court) 7 (appeal of magistrate judgment)
1	subsequent appearance	3 (remanded from appellate court) 4 (reinstated or reopened) 5 (transferred from another district) 6 (multi-district litigation transfer) 8 (2nd reopening) 9 (3rd reopening) 10 (4th reopening) 11 (5th reopening) 12 (6th reopening)

otherinv

(Other involvement) (used 1981-1985). Involvement of persons other than judge or magistrate.

1	Arbitrator	121
2	Land commissioner	74
3	Special master (other than magistrate)	54
4	Other	4,434
5	No involvement other than judge or magistrate	1,091,079

outctot

Outcome total. This variable takes together many others and creates a total list of outcomes:

Value	Label	N
-8	Data not reliably collected this tapeyear (1970-78)	916,093
-1	Missing	464
0	Non-judgment disposition	895,515
1	Pretrial defense victory	3,681,515
2	Pretrial plaintiffs victory	812,489
3	Arbitration appeal, plaintiffs victory	4,557
4	Arbitration appeal, defense victory	1,950
5	Pretrial resolution, unknown victor	179,910
6	Voluntary dismissal	647,957
7	Settled	1,820,777
8	Jury verdict for defendant	54,069
9	Jury verdict for plaintiff	46,759
10	Jury verdict for unknown party	9,431
11	Directed verdict for plaintiff	2,747
12	Directed verdict for unknown party	592
13	Directed verdict for defendant	7,508
14	Bench verdict for defendant	54,047
15	Bench verdict for plaintiff	43,747
16	Bench verdict for unknown party	3,701
17	Still pending	274,365

Value	Source
-8	replace outctot = -8 if tapeyear < 1979
-1	[Whatever is left after rest]
0	* 0 = non-judgment disposition */ replace outctot = 0 if nojudsum == 0;
1	/* 1 = pretrial defense victory */ replace outctot = 1 if (disp79 == 2 /* dismissed for want of prosecution */ (disp79 == 3 & (jforsum == 2 jforsum == 4)) /* "dismissed discontinued etc" and defense OR UNKNOWN victory */ (disp79 == 4 & jforsum == 2) /* default judgment and defense victory */ (disp79 == 6 & jforsum == 2) /* pretrial judgment on motion and defense victory */ (disp79 == 10 & jforsum == 2) /* "judgment on other" and defense victory */ (disp79 == 10 & jforsum ~= 1)); /* "judgment on other" and defense OR UNKNOWN victor */ ((disp87 == 2) (disp87 == 3) /* dismissed for want of prosecution (2); lack of jurisdiction (3)*/ (disp87 == 14 & jforsum ~= 1) /* dismissed for "other" & not plaintiff victory (14) */ (disp87 == 4 & jforsum == 2) /* default and defense victory */ (disp87 == 6 & jforsum == 2) /* pretrial motion and defense victory */ ((disp87 == 19 disp87 == 20) & jforsum == 2) /* appeal from magistrate and defense victory */ (disp87 == 17 & jforsum ~= 1)); /* "judgment on other" and defense OR UNKNOWN victory */;
2	/* 2 = pretrial plaintiffs victory */ replace outctot = 2 if ((disp79 == 4 & jforsum == 1) /* default judgment and plaintiff victory */ (disp79 == 6 & jforsum == 1) /* pretrial judgment on motion and plaintiff victory*/ (disp79 == 10 & jforsum == 1) /* "judgment on other" and plaintiff victory */ (disp87 == 4 & jforsum == 1) /* default and plaintiff victory */ (disp87 == 6 & jforsum == 1) /* pretrial motion and plaintiff victory */ ((disp87 == 19 disp87 == 20) & jforsum == 1) /* appeal from magistrate and plaintiff victory */ (disp87 == 17 disp87 == 14) & jforsum == 1)); /* "judgment on other" or "dismissed: other" and plaintiff victory */
3	/* 3 = non-de novo arbitration appeal, plaintiffs victory */ replace outctot = 3 if (disp87 == 15 & jforsum == 1);
4	/* 4 = arbitration appeal, defense victory */ replace outctot = 4 if (disp87 == 15 & jforsum == 2);
5	/* 5 = Pretrial resolution, unknown victor */ replace outctot = 5 if ((disp79 == 4 & (jforsum == 4 jforsum == -8)) /* default judgment and unknown victor */ (disp79 == 6 & (jforsum == 4 jforsum == -8)) /* pretrial judgment on motion and unknown victor */ (disp87 == 4 & (jforsum == 4 jforsum == -8)) /* default and unknown victor */ (disp87 == 6 & (jforsum == 4 jforsum == -8)) /* pretrial motion and unknown victor */ ((disp87 == 19 disp87 == 20) & (jforsum == 4 jforsum == -8))); /* appeal from magistrate and unknown victor */
6	/* 6 = voluntary dismissal */ replace outctot = 6 if (disp87 == 12);
7	/* 7 = Settled*/ replace outctot = 7 if (disp79 == 5 disp87 == 5) /* judgment on consent */ (disp79 == 3 & jforsum == 1) /* settled, I think */ disp87 == 13); /* dismissed: settled */

Value	Source
8	/* 8 = jury verdict for defendant */ replace outctot = 8 if (jforsum == 2 & (disp79 == 7 disp87 == 7));
9	/* 9 = jury verdict for plaintiff*/ replace outctot = 9 if (jforsum == 1 & (disp79 == 7 disp87 == 7));
10	/* 10 = jury verdict for unknown party*/ replace outctot = 10 if ((jforsum == 4 jforsum == -8) & (disp79 == 7 disp87 == 7));
11	/* 11 = directed verdict for plaintiff*/ replace outctot = 11 if (jforsum == 1 & (disp79 == 8 disp87 == 8));
12	/* 12 = directed verdict for unknown party*/ replace outctot = 12 if ((jforsum == 4 jforsum == -8) & (disp79 == 8 disp87 == 8));
13	/* 13 = directed verdict for defendant */ replace outctot = 13 if (jforsum == 2 & (disp79 == 8 disp87 == 8));
14	/* 14 = bench verdict for defendant */ replace outctot = 14 if ((jforsum == 2 & (disp79 == 9 disp87 == 9)) (disp87 == 16 & jforsum == 2))
15	/* 15 = /bench verdict for plaintiff*/ replace outctot = 15 if ((jforsum == 1 & (disp79 == 9 disp87 == 9)) (disp87 == 16 & jforsum == 1));
16	/* 16 = bench verdict for unknown party*/ replace outctot = 16 if (((jforsum == 4 jforsum == -8) & (disp79 == 9 disp87 == 9)) ((jforsum == 4 jforsum == -8) & disp87 == 16));
17	replace outctot = 17 if tapeyear == 2099

outc2

This was a special variable created to identify cases in which the plaintiff was noted as the victor, but the award was 0, and the judgment was *not* an injunction. Calculated only since 1987.

outc2 = 1 if *all* of these conditions are satisfied:

- noj ~= 3 & noj ~= 4
- jforsum == 1
- award == 0
- disp 87 == 4, 6, 7, 8, 9, 14, 15, 16, 17, 19, 20

outsum

Outcome summary, based on outctot

Data not collected (-8)	274,365
Pending (-1)	274,365
Nonjudgment disposition (0)	1,812,072
Pretrial dismissal (1)	3,681,515
Voluntary dismissal (2)	647,957
Settled (3)	1,820,777
Trial (4)	222,601
Other (5)	186,417
Pretrial plaintiff win (6)	812,489
Total	9,458,193

Outsum		Source (outctot)
-8	Data not collected	-8 (Data not reliably collected (1970-78)) -1 (missing)
-1	Pending	17 (pending)
0	Nonjudgment disposition	0 (Nonjudgment disposition)
1	Pretrial defense victory	1 (Pretrial defense victory)
2	Voluntary dismissal	6 (Voluntary dismissal)
3	Settled	7 (Settled)
4	Trial	8 (Jury verdict for defendant) 9 Jury verdict for plaintiff 10, Jury verdict for unknown party 11, Directed verdict for plaintiff 12, Directed verdict for unknown party 13, Directed verdict for defendant 14, Bench verdict for defendant 15, Bench verdict for plaintiff 16 Bench verdict for unknown party
5	Other	3 (Arbitration appeal, plaintiffs victory) 4 (Arbitration appeal, defense victory) 5 (Pretrial resolution, unknown victor)

pending

If the case was pending in 2012, it was included in its own ICPSR dataset, and has a **tapeyear** == 2099.

0 Terminated 9,183,828
 1 Pending 274,365

pilot

(Pilot) Dichotomous variable noting cases involved in 1986 pilot for statistical reporting.

1 Yes 21,170
 0 No 9,437,023

plt

(Plaintiff) The ICPSR started masking the plaintiff and defendant names sometime after 2004. They remain available only on special application.

pretrial

(pretrial conference date) This is a variable in the data I received from the AO, but not the ICPSR's release. So I have it only for 2009-. It is present for 79,503 observations.

proc_sum

Procedural progress summary, 1987-. This variable summarizes **procprog87**

1 Before issue joined 3,135,784
 2 After issue joined 3,486,780
 . Missing 2,835,629
 (**tapeyear** == 1975-1986, except for pilot districts in 1986) and pending cases

<i>proc_sum</i>		procprog87
1	Before issue joined	1 (Before issue joined, no court action) 2 (Before issue joined, order entered) 11 (Before issue joined, hearing held) 12 (Before issue joined, motion decide)d
2	After issue joined	3 (After issue joined, no court action) 4 (After issue joined, judgment on motion) 5 (After issue joined, pretrial conference held) 6 (After issue joined, during court trial) 7 (After issue joined, during jury trial) 8 (After issue joined, after court trial) 9 (After issue joined, after jury trial) 10 (After issue joined, other) 13 (Request for trial de novo after arbitration)

procprog70

(Procedural Progress, 1970-1975) The point to which the case had progressed when it was disposed of. This variable is titled, simply, **procprog**, in the raw AO data of the relevant tapeyears.

0	Land condemnation cases	5,656
1	No issue - no action	109,594
2	No issue - action	124,880
3	Issue, no pretrial - no action	104,810
4	Issue, no pretrial - action	88,710
5	Pretrial but no trial	79,403
6	Terminated during court trial	4,663
7	Terminated during jury trial	6,143
8	Judgment after court trial	24,711
9	Judgment after jury trial	14,290
Total		562,854

procprog76

(Procedural Progress, 1976-1986). The point to which the case had progressed when it was disposed of. This variable is titled, simply, **procprog**, in the raw AO data of the relevant tapeyears.

0	Other	29,209
1	Before issue joined	576,437
2	After motion decided but before issue joined	364,795
3	Issue joined, no other court action	283,998
4	Issue joined, and after judgment of court on motion	353,855
5	Issue joined, and after pretrial conference but before trial	268,094
6	During court trial	7,846
7	During jury trial	12,781
8	After court trial	63,991
9	After jury trial	37,397
Total		1,998,403

procprog87

(Procedural Progress, 1987-) The point to which the case had progressed when it was disposed of. This variable is titled, simply, **procprog**, in the raw AO data of the relevant tapeyears.

-8	Pending	274,376
1	Before issue joined, no court action	800,739
2	Before issue joined, order entered	1,789,340
3	After issue joined, no court action	561,291
4	After issue joined, judgment on motion	1,099,446
5	After issue joined, pretrial conference held	625,623
6	After issue joined, during court trial	11,552
7	After issue joined, during jury trial	20,635
8	After issue joined, after court trial	60,151
9	After issue joined, after jury trial	83,402
10	After issue joined, other	1,019,547

11	Before issue joined, hearing held	50,632
12	Before issue joined, motion decided	495,073
13	Request for trial de novo after arbitration	5,133
	Total	6,896,931

prose

(Pro Se) (blank before 1996)

0	no Pro Se plaintiffs or defendants	3,231,105
1	Pro Se plaintiffs, but no Pro Se defendants	1,132,606
2	Pro Se defendants, but no Pro Se plaintiffs	90,926
3	both Pro Se plaintiffs & defendants	12,181
-8	missing (> 1995)	282,358

prose_pl

Pro se plaintiff. Derived from **prose** (1996 -).

prose_pl		prose	N
0	no pro se plaintiffs	0 (no pro se plaintiffs or defendants) 2 (pro se defendants but no pro se plaintiffs)	3,322,031
1	pro se plaintiffs	1 (pro se plaintiffs, but no pro se defendants) 3 (both pro se plaintiffs & defendants)	1,144,787
-8	missing (1996 -)	-8 (missing)	282,358
.	< 1996	. (missing)	4,709,017

region

Census region in which case was filed. (see https://www.census.gov/geo/maps-data/maps/pdfs/reference/us_regdiv.pdf)

1	New England	345,075
2	Mid-Atlantic	1,717,926
3	South Atlantic	1,730,923
4	East North Central	1,359,852
5	West North Central	541,159
6	East South Central	702,456
7	West South Central	1,308,904
8	Mountain	475,648
9	Pacific	1,153,921
10	Territories (PR, VI, CZ, Guam, NMI)	122,329

region	state
1	New England Connecticut; Maine; Massachusetts; New Hampshire; Rhode Island; Vermont
2	Middle Atlantic New Jersey; New York; Pennsylvania
3	South Atlantic Delaware; District of Columbia; Florida; Georgia; Maryland; North Carolina; South Carolina; Virginia; West Virginia
4	East North Central Indiana; Illinois; Michigan; Ohio; Wisconsin

5	West North Central	Iowa; Nebraska; Kansas; North Dakota; Minnesota; South Dakota; Missouri
6	East South Central	Alabama; Kentucky; Mississippi; Tennessee
7	West South Central	Arkansas; Louisiana; Oklahoma; Texas
8	Mountain	Arizona; Colorado; Idaho; New Mexico; Montana; Utah; Nevada; Wyoming
9	Pacific	Alaska; California; Hawaii; Oregon; Washington
10	Territories	Territories (PR, VI, CZ, Guam, NMI)

residenc

(Residence) Collected 1970 to present. But I have only 2005-present in the aggregated dataset. Involves diversity of citizenship for the plaintiff and defendant. This two digit code is used only when the jurisdiction = 4. First position is the citizenship of the plaintiff, second position is the citizenship of the defendant.

- 8 Missing
- 1 Citizen of this State
- 2 Citizen of another State
- 3 Citizen or Subject of a Foreign Country
- 4 Incorporated or principal place of business in this State
- 5 Incorporated or principal place of business in another State
- 6 Foreign Nation

-8	1,685,331	45	37,046
11	6	46	494
12	48,733	51	21,690
13	4,804	52	2,401
14	6,839	53	588
15	194,075	54	22,057
16	1,302	55	9,688
21	25,693	56	167
22	8,135	61	210
23	1,318	62	75
24	40,750	63	11
25	308,605	64	457
26	536	65	154
31	2,454	66	35
32	890		
33	473		
34	4,124		
35	2,182		
36	106		
41	830		
42	6,553		
43	1,801		
44	584		

section

(Section) Section of the code considered in the case. Comes from the civil cover sheet; very error-ridden variable.

state

(State)

1	Alabama (AL)	249,739	28	Nebraska (NE)	45,475
2	Alaska (AK)	21,851	29	Nevada (NV)	74,117
3	Arizona (AZ)	122,868	30	New Hampshire (NH)	24,740
4	Arkansas (AR)	125,033	31	New Jersey (NJ)	229,115
5	California (CA)	873,859	32	New Mexico (NM)	57,383
6	Colorado (CO)	101,986	33	New York (NY)	751,799
7	Connecticut (CT)	94,115	34	North Carolina (NC)	143,425
8	Delaware (DE)	35,245	35	North Dakota (ND)	14,017
9	District of Columbia (DC)	135,155	36	Ohio (OH)	348,503
10	Florida (FL)	525,876	37	Oklahoma (OK)	147,857
11	Georgia (GA)	253,713	38	Oregon (OR)	87,109
12	Hawaii (HI)	34,951	39	Pennsylvania (PA)	737,012
13	Idaho (ID)	25,623	40	Rhode Island (RI)	29,677
14	Illinois (IL)	445,525	41	South Carolina (SC)	165,363
15	Indiana (IN)	170,210	42	South Dakota (SD)	18,150
16	Iowa (IA)	64,965	43	Tennessee (TN)	178,468
17	Kansas (KS)	76,447	44	Texas (TX)	663,816
18	Kentucky (KY)	135,489	45	Utah (UT)	49,442
19	Louisiana (LA)	372,198	46	Vermont (VT)	16,009
20	Maine (ME)	24,430	47	Virginia (VA)	231,234
21	Maryland (MD)	149,945	48	Washington (WA)	136,151
22	Massachusetts (MA)	156,104	49	West Virginia (WV)	90,967
23	Michigan (MI)	304,263	50	Wisconsin (WI)	91,351
24	Minnesota (MN)	121,285	51	Wyoming (WY)	15,372
25	Mississippi (MS)	138,760	52	Territories (PR, VI, CZ, Guam, NMI)	122,329
26	Missouri (MO)	200,820			
27	Montana (MT)	28,857			

statuscd

This is an AO variable; I don't know what it means. 2009-2012, only.

L 1,148,087
S 274,365

study

Study number, assigned by ICPSR, to each tapeyear's data release. The ICPSR study number is used to retrieve and cite the raw data, at <https://www.icpsr.umich.edu/>.

study_date

Version date for the relevant study. The studies are periodically updated: this number is the version of the data I used—but see the note at the start of this codebook.

tapeyear	<i>study</i>	<i>study date</i>	N
<2001	8429	May 22, 2012	6,003,509
2001	3415	Apr. 25, 2002	248,174
2002	4059	June 19, 2002	259,537
2003	4026	Oct. 8, 2004	253,015
2004	4348	June 17, 2004	252,761
2005	4382	Nov. 4, 2005	271,753
2006	4685	Mar. 17, 2006	273,193
2007	22300	Mar. 15, 2007	239,678
2008	25002	June 18, 2008	234,121
2009	29661	June 29, 2009	263,703
2010	30401	Nov. 26, 2012	309,759
2011	33622	Jan. 8, 2013	303,053
2012	34881	Mar. 18, 2014	271,572
2099 (pending)	29281	Mar. 19, 2014	274,365

subject

(Subsection) Subsection of the code considered in the case. Comes from the civil cover sheet; very error-ridden variable.

tdateuse

This is an AO variable, 2009- ; it's a date, and seems to be the first of the termination month.

termdate

(Termination Date) The date the district court received the final judgment or the order disposing of the case.

termdy

Termination Date: Day. The day the district court received the final judgment or the order disposing of the case.

termdate_string

Intermediate variable. Completely equivalent to termdate. Introduced for uniforming the "data type" of termdate.

termmo

(Termination Date: Month)

The month the district court received the final judgment or the order disposing of the case.

termyr

Termination Date: Year. The calendar year the district court received the final judgment or the order disposing of the case.

title

(Title) Title of the code considered in the case. Comes from the civil cover sheet; very error-ridden variable. Sometimes called titl in the unmerged data.

transdat

(Transfer date) The date when the papers were received in the receiving district for a transferred case. The format is different before and after 2005. There are some missings, beginning in 2005.

transdat_string

Intermediate variable. Completely equivalent to transdate. Introduced for uniforming the “data type” of transdat.

transdoc

(Transfer docket number) 2005-. Observations in 2008 are mostly missing values.

transoff

(Transfer office). The office number of the district losing the case. 1997-. But I have only 2005-present in the aggregated dataset.

transorg

(Transfer origin). 1997 - . But I have only 2005-present in the aggregated dataset. **Origin** in the district losing the case. I’m not sure what A and B are.

values: -8, 1, 2, 3, 4, 5, 6, 7, A, B.

trclact

(class action status on termination), 1979-.

-8	no allegation of class action made, 2005 -	2,397,824
0	no allegation of class action made, 1979-1995	3,750,133
1	allegation of class action	2
2	allegation dismissed	74,624
3	allegation affirmed	20,112
	Missing (after 1978)	2,299,405
	Missing (before 1979)	916,093

Note: Missing, for 1996-2004, seems to be the equivalent of 0 or -8.

tribegan

(trial begin date) The AO notes: “Data rarely entered in the past. This field is no longer being used.”

trialsum

Trial Summary. Variable calculated from *only disp*, which indicates whether the case was decided by a trial (including directed verdict).

0	No Trial	8,045,134
1	Jury Trial	121,106
2	Bench Trial	101,495
.	Missing (tapeyear <1979, and pending)	1,190,458

trialsun == 1 if
 Judgement is for the plaintiff, defendant, or unknown (jforsun == 1, 2, or 4)
 AND disp79 or disp87 == jury verdict (7) or directed verdict (8)

trialsun == 2 if judgment is for plaintiff, defendant, or unknown (jforsun == 1, 2, or 4)
 AND disp == de novo trial after arbitration or bench trial (9 or 16)

gen trialsun = 0;
 replace trialsun = 1 if (outctot < 14 & outctot > 7);
 replace trialsun = 2 if (outctot > 13 & outctot < 17);
 replace trialsun = . if tapeyear <1979 | tapeyear == 2099

trialsun_orig

(Trial summary, original)
 Variable calculated from *both* disposition and procedural progress variables, that indicates whether there was likely a trial or not.

-8	Missing	5
0	No Trial	7,986,635
1	Trial	281,095
.	Missing (year < 1979 or pending)	1,190,458

trialsun_orig = 1 if:
 procprog87 or procprog76 == 6 (After issue joined, during court trial)
 7 (After issue joined, during jury trial)
 8 (After issue joined, during jury trial)
 9 (After issue joined, after jury trial)

or
 disp87 or disp79 == 7 (Judgment on jury verdict)
 8 (Judgment on directed verdict)
 9 (Judgment on court trial)
 16 (Judgment on trial de novo after arbitration)

trialend

Trial end date. 2009- From AO.

trialout

Trial outcome

recode outctot (8=1) (13=1) (14=1) (10=-9) (12=-9) (16=-9) (9=2) (11=2) (15=2), gen(trialout);

	trialout	Outctot
-9	Unknown victory	10

		12
		16
1	Defendant victory	8 13 14
2	Plaintiff victory	9 11 15

trmarb

Arbitration at termination. 1997- . But I have only 2005-present in the aggregated dataset.

-8	Missing	2,179,852
M	Mandatory	4,140
V	Voluntary	6,023
E	Exempt	20,368

unk_nos

(unknown nature of suit). See nos.

1	Nature of suit unknown	24,176
.	Missing	9,434,017

tapeyear

(tapeyear) This variable is the year-cohort that covers the data on release. It covers a “statistical year” running from July through June (for example, 1984 means July 1, 1983 to June 30, 1984). Reporting time lags can create a slight skew to the correspondence between calendar date and statistical year at the borders of the statistical year.

1970	80,435	1985	269,848	2000	259,637
1971	86,563	1986	266,765	2001	248,174
1972	95,181	1987	238,000	2002	259,537
1973	98,259	1988	238,753	2003	253,015
1974	97,633	1989	235,219	2004	252,761
1975	104,783	1990	213,922	2005	271,753
1976	110,175	1991	211,713	2006	273,193
1977	117,150	1992	303,207	2007	239,678
1978	125,914	1993	227,595	2008	234,121
1979	143,323	1994	228,361	2009	263,703
1980	160,481	1995	229,820	2010	309,759
1981	177,975	1996	250,387	2011	303,053
1982	189,473	1997	249,641	2012	271,572
1983	215,356	1998	262,301		
1984	243,113	1999	272,526		pending (coded as 2099):

274,36

Masked variables:

Finally, the AO keeps a number of fields that it has blanked out without sharing, with me or the ICPSR. They are:

filejudg

File judge.

filemag

File magistrate judge.

termjudg

Termination judge.

termmag

Termination magistrate judge.