



**Codebook for Circuit Court of Appeals Database,  
Phase Three Update: 2003-2010**

**Codebook**

This dataset extends prior research on the United States Courts of Appeals for the time period 2003-2010. The authors sampled 30 cases per federal circuit per year and coded variables of interest about each of these cases as described in this codebook. This dataset was produced by a team of researchers in the University of Georgia's Department of Political Science: Susan Haire, Barry Edwards, Phil Marcin, David Hughes, and Allison Ackerman.

This Codebook details how we coded variables. Where possible, we followed coding rules used in Phases One and Two of this project (which coded cases decided between 1925 and 2002). Variables are organized into six subcategories:

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Separate documents, the Judge Identification Codes Appendix and Detailed Case Issue Types & Coding Rule Appendix, list the numeric codes used to identify individual judges and detailed case types in the Circuit Courts of Appeals Database. We created separate documents to detail judge identification and case type codes to keep this Codebook as concise as possible.

**I. General Identifying Information**

#	NAME	DESCRIPTION
01.	CASENUM	Case identification number (follows Circuit Courts of Appeals Database Phase Two in sequence)
02.	FILEID	Internal reference, follows pattern: YYYYCCNN where Y is year, C is circuit, N is number (1:30) of case within circuit-year
03.	CASENAME	Name of Case (based on caption, generally plaintiff v. defendant or appellant v. appellee)
04.	CIRCUIT	Circuit Court identification code '1' thru '11' = 1 <sup>st</sup> thru 11 <sup>th</sup> Circuits, '0' = DC Circuit
05.	YEAR	Year of decision
06.	MONTH	Month of decision
07.	DAY	Day of decision
08.	CITE	Citation in Federal Reporter
09.	VOL	Federal Reporter volume in which case located
10.	BEGINPG	Page # of 1st page of case in Federal Reporter
11.	ENDOPIN	Page # of last page of majority opinion
12.	ENDPAGE	Page # of last page of all opinions in case (includes separate concurring and dissenting opinions)
13.	DOCNUM	Docket number of first case decided by the opinion
14.	MULTDOC	# of docket numbers of the case coded
15.	WESTLAW	Westlaw citation
16.	NOTES	Coder notes about case

## II. Basic Case History

#	NAME	DESCRIPTION
17.	METHOD	Nature of appeals court decision '1' = By Panel for First Time '2' = By Panel after Re-Hearing '3' = By Panel after Remand from SCOTUS '4' = En Banc, after Single Panel Decision '5' = En Banc, after Multiple Panel Decisions '6' = En Banc, No Prior Panel Decisions '7' = By Panel After Remand to Lower Court '8' = Other '9' = Not Ascertained
18.	STATE	State of origin of case '1' thru '50' = States in alphabetic order '51' = Virgin Island '52' = Puerto Rico '53' = District of Columbia '54' = Guam '56' = Panama Canal Zone '55' = N/A, not from District or state court '00' = Not Determined
19.	DISTRICT	District of origin of case '0' = Not Applicable - not in district court '1' = Eastern '2' = Western '3' = Central '4' = Middle '5' = Southern '6' = Northern '7' = Whole state is one judicial district '8' = Not Ascertained
20.	ORIGIN	Type of court or agency that made <u>original</u> decision '1' = Federal district court (single judge) '2' = 3 judge district court '3' = State court '4' = Bankruptcy court/referee/special master '5' = Federal magistrate '6' = Federal administrative agency '7' = Special DC court (not D.C. Dist. Ct.) '8' = Other (e.g., Tax Court, court martial) '9' = Not ascertained
21.	SOURCE	Forum from which decision appealed '1' = Federal district court (single judge) '2' = 3 judge district court '3' = State court '4' = Bankruptcy court/referee/special master '5' = Federal magistrate '6' = Federal administrative agency '7' = Court of Customs & Patent Appeals '8' = Court of Claims '9' = Court of Military Appeals '10' = Tax Court or Tax Board '11' = Administrative law judge '12' = U.S. Supreme Court (remand) '13' = Special DC court (not D.C. Dist. Ct.) '14' = Earlier appeals court panel '15' = Other '16' = Not Ascertained

22. DISTJUDG	Identification code of district judge (if any) deciding case below, See the <i>Codebook Appendix: Judge Identification Codes</i> for a complete list of judges and corresponding identification numbers.
23. DISTFJCCODE	Federal Judicial Center identification code of district judge (if any) deciding case below, See the <i>Codebook Appendix: Judge Identification Codes</i> for a complete list of judges and corresponding identification numbers. Basic biographical information available on internet: <a href="http://www.fjc.gov/servlet/nGetInfo?jid=[DISTFJCCODE]">www.fjc.gov/servlet/nGetInfo?jid=[DISTFJCCODE]</a>
24. APPLFROM	Type of district court final judgment (if any) appealed from '1' = Trial (either jury or bench trial) '2' = Injunction or denial/stay of injunction '3' = Summary judgment or denial thereof '4' = Guilty plea or denial of motion to withdraw plea '5' = Dismissal (inc. dismissal of habeas petition) '6' = Appeals of post judgment orders (e.g., attorneys' fees, costs, damages, judgment notwithstanding the verdict) '7' = Appeal of post settlement orders '8' = Not a final judgment: interlocutory appeal '9' = Not a final judgment: mandamus '10' = Other (e.g. pre-trial orders, rulings on motions, directed verdicts) or cannot determine nature of final judgment '11' = Does not fit any of the above categories, but opinion mentions a trial judge '12' = Not applicable (e.g. decision below was by a federal administrative agency, tax court)
25. ADMINREV	ID of federal regulatory agency (if any) the case was appealed from '0' = Not applicable '1' = Benefits Review Board '2' = Civil Aeronautics Board '3' = Civil Service Commission '4' = Federal Communications Commission '5' = Federal Energy Regulatory Commission '6' = Federal Power Commission '7' = Federal Maritime Commission '8' = Federal Trade Commission '9' = Interstate Commerce Commission '10' = National Labor Relations Board '11' = Atomic Energy Commission '12' = Nuclear Regulatory Commission '13' = Securities & Exchange Commission '14' = Board of Immigration Appeals '88' = Other federal agency '99' = Not ascertained
26. PRIORPUB	Citation (if any) to prior published opinion. Limited to opinions published in official reporters (excludes opinions available only on Lexis-Nexis or Westlaw).
27. OPINSTAT	Opinion status of decision '1' = Signed, with reasons '2' = <i>Per Curiam</i> , with reasons '9' = Not ascertained

28. CROSSAPP	Were there cross appeals? '0' = No '1' = Yes
29. INITIATE	Party initiating appeal '1' = Original plaintiff '2' = Original defendant '3' = Federal agency representing plaintiff '4' = Federal agency representing defendant '5' = Intervenor '8' = Not applicable '9' = Not ascertained

### III. Participants

#	NAME	DESCRIPTION
30.	NUMAPPEL	Total # of appellants '99' = not ascertained
31.	GENAPEL1	General classification of 1st appellant '0' = Prisoner '1' = Private Business (incl. criminal enterprises) '2' = Private Org or Assoc '3' = Federal Govt (includes DC) '4' = Sub-State Govt (e.g., county, city, school board) '5' = State Govt (incl. terr. & commonwealths) '6' = Govt (level not ascertained) '7' = Natural Person (not in govt/corp capacity) '8' = Miscellaneous '9' = Not Ascertained
32.	ISSPTY	Issue Appellant Coded as Party? '0' = No '1' = Yes
33.	COUNSEL1	Counsel code for appellant(s) '1' = None (Pro Se) '2' = Court Appointed '3' = Legal Aid or Public Defender '4' = Private '5' = Government - US '6' = Government - State or Local '7' = Interest Group, Union, Prof. Group '8' = Other, Not Ascertained, or Combination of Above
34.	A_FIRMS	# of firms appearing on behalf of all appellants '99' = not ascertained
35.	A__ATTY	# of attorneys appearing on behalf of all appellants '99' = not ascertained
36.	NUMRESP	Total # of respondents '99' = not ascertained
37.	GENRESP1	General classification of 1st respondent '0' = Prisoner '1' = Private Business (incl. criminal enterprises) '2' = Private Org or Assoc '3' = Federal Govt (includes DC) '4' = Sub-State Govt (e.g., county, city, school board) '5' = State Govt (incl. terr. & commonwealths) '6' = Govt (level not ascertained) '7' = Natural Person (not in govt/corp capacity) '8' = Miscellaneous '9' = Not Ascertained
38.	COUNSEL2	Counsel code for respondent '1' = None (Pro Se) '2' = Court Appointed '3' = Legal Aid or Public Defender '4' = Private '5' = Government - US '6' = Government - State or Local '7' = Interest Group, Union, Prof. Group '8' = Other, Not Ascertained, or Combination of Above
39.	R_FIRMS	# of firms appearing on behalf of all respondents '99' = not ascertained
40.	R__ATTY	# of attorneys appearing on behalf of all respondents '99' = not ascertained

41. AMICUS	Were <i>amicus curiae</i> briefs filed? '0' = No '1' = Yes
42. INTERVENOR	Was there an intervenor? '0' = No '1' = Yes

#### IV. Issues

#	NAME	DESCRIPTION
43.	TYPEISS	General nature of proceedings '1' = Criminal or Prisoner Petition '2' = Civil Govt - Admin Reg '3' = Diversity Case '4' = Civil - Private/Damages '5' = Other/Not Applicable '0' = Not Ascertained
44.	GENISS	Eight summary issue categories based on Spaeth's issue codes '1' = Criminal '2' = Civil Rights '3' = First Amendment '4' = Due Process '5' = Privacy '6' = Labor Relations '7' = Economic Activity & Regulation '9' = Miscellaneous
45.	CASETYP1	First case type - substantive policy (analogous to Spaeth issue codes) <i>See Codebook Appendix: Detailed Case Issue Codes &amp; Outcome Coding Rules</i>
46.	CASETYP2	Second case type <i>See Codebook Appendix: Detailed Case Issue Codes &amp; Outcome Coding Rules</i>
47.	CONSTIT	Was any constitutional issue raised in the case? An opinion that merely cited the Constitution without discussion or analysis of it was coded "0". '0' = No '1' = Yes
48.	FEDLAW	Did the court engage in statutory interpretation? '0' = No '1' = Yes
49.	THRESHOLD	Disposition of case turn on a threshold issue (i.e. jurisdiction, standing)? '0' = No '1' = Yes
50.	SUMMARY	Did court decide whether summary judgment was appropriate? '0' = No '1' = Yes
51.	CLASSACT	Was case a class action? '0' = No '1' = Yes
52.	HABEAS	Was this a habeas corpus case? '0' = No '1' = Yes
53.	SENTENCE	Issue relating to sentence other than death penalty '0' = No '1' = Yes
54.	DEATHPEN	Is this an appeal involving the death penalty? '0' = No '1' = Yes

V. Outcome

55. DIRECT1	<p>Directionality of decision on 1st case type. Outcome coding rules depend on the issue area(s) involved in a particular case, see <i>Codebook Appendix: Detailed Case Issue Codes &amp; Outcome Coding Rules</i>.</p> <p>'0' = Not Determined/Cannot be Classified            '1' = Conservative Outcome            '2' = Mixed Outcome            '3' = Liberal Outcome</p>
56. DIRECT2	<p>Directionality of decision on 2nd case type. Outcome coding rules depend on the issue area(s) involved in a particular case, see <i>Codebook Appendix: Detailed Case Issue Codes &amp; Outcome Coding Rules</i>.</p> <p>'0' = Not Determined/Cannot be Classified            '1' = Conservative Outcome            '2' = Mixed Outcome            '3' = Liberal Outcome</p>
57. TREAT	<p>Treatment of decision below by appeals court</p> <p>'0' = stay, petition, or motion granted            '1' = affirmed, or affirmed and petition denied            '2' = reversed (include reversed &amp; vacated)            '3' = reversed and remanded (or just remanded)            '4' = vacated and remanded (also set aside &amp; remanded, modified and remanded)            '5' = affirmed in part and reversed in part (or modified or affirmed and modified)            '6' = affirmed in part, reversed/vacated in part, and remanded            '7' = vacated            '8' = petition denied or appeal dismissed            '9' = certification to another court            '10' = not ascertained</p>
58. MAJVOTES	Number of majority votes
59. DISSENT	Number of dissenting votes
60. CONCUR	Number of concurring votes (in separate concurring opinions)

## VI. Judges and Votes

#	NAME	DESCRIPTION
61.	CODEJ1	Identification code for the judge who wrote the court opinion or first listed on opinion (i.e. <i>per curiam</i> opinion). See the <i>Codebook Appendix: Judge Identification Codes</i> for a complete list of judges and corresponding identification numbers.
62.	CODEJ2	Identification code for 2nd judge on panel. See the <i>Codebook Appendix: Judge Identification Codes</i> for a complete list of judges and corresponding identification numbers.
63.	CODEJ3	Identification code for 3rd judge on panel. See the <i>Codebook Appendix: Judge Identification Codes</i> for a complete list of judges and corresponding identification numbers.
64- 75.	CODEJ[4:15]	Identification codes for additional judges in cases decided <i>en banc</i> (there may be up to 15 judges in cases decided by full circuit). See the <i>Codebook Appendix: Judge Identification Codes</i> for a complete list of judges and corresponding identification numbers.
76.	VOTE1J1	Direction of 1st judge's vote on 1st issue (CASETYP1). This will be same as DIRECT1, but researchers may find this variable name format useful.
77.	VOTE1J2	Direction of 2nd judge's vote on 1st issue
78.	VOTE1J3	Direction of 3rd judge's vote on 1st issue
79- 90.	VOTE1J[4:15]	Direction of additional judges' votes on 1st issue (in cases decided <i>en banc</i> )
91.	VOTE2J1	Direction of 1st judge's vote on 2nd issue (CASETYP2). This will usually be same as DIRECT2, but researchers may find this variable name format useful.
92.	VOTE2J2	Direction of 2nd judge's vote on 2nd issue
93.	VOTE2J3	Direction of 3rd judge's vote on 2nd issue
94- 105.	VOTE2J[4:15]	Direction of additional judges' votes on 2nd issue (in cases decided <i>en banc</i> )
106.	MAJ1J1	Was 1st judge in majority on 1st issue? This will = '1', but researchers may find this variable name format useful.
107.	MAJ1J2	Was 2nd judge in majority on 1st issue?
108.	MAJ1J3	Was 3rd judge in majority on 1st issue?
109- 120.	MAJ1J[4:15]	Were additional judges in majority on 1st issue (in cases decided <i>en banc</i> )?
121.	MAJ2J1	Was 1st judge in majority on 2nd issue? This will usually = '1', but researchers may find this variable name format useful.
122.	MAJ2J2	Was 2nd judge in majority on 2nd issue?
123.	MAJ2J3	Was 3rd judge in majority on 2nd issue?
124- 135.	MAJ2J[4:15]	Were additional judges in majority on 2nd issue (in cases decided <i>en banc</i> )?
136.	FJCCODEJ1	Federal Judicial Center identification code for the judge who wrote the court opinion or first

	<p>listed on opinion (i.e. <i>per curium</i> opinion). See the <i>Codebook Appendix: Judge Identification Codes</i> for a complete list of judges and corresponding Federal Judicial Center identification numbers. Basic biographical information available on internet:  <a href="http://www.fjc.gov/servlet/nGetInfo?jid=[FJCCODEJ1]">www.fjc.gov/servlet/nGetInfo?jid=[FJCCODEJ1]</a></p>
137. FJCCODEJ2	<p>Federal Judicial Center identification code for 2nd judge on panel. See the <i>Codebook Appendix: Judge Identification Codes</i> for a complete list of judges and corresponding identification numbers. Basic biographical information available on internet:  <a href="http://www.fjc.gov/servlet/nGetInfo?jid=[FJCCODEJ1]">www.fjc.gov/servlet/nGetInfo?jid=[FJCCODEJ1]</a></p>
138. FJCCODEJ3	<p>Federal Judicial Center identification code for 3rd judge on panel. See the <i>Codebook Appendix: Judge Identification Codes</i> for a complete list of judges and corresponding identification numbers. Basic biographical information available on internet:  <a href="http://www.fjc.gov/servlet/nGetInfo?jid=[FJCCODEJ1]">www.fjc.gov/servlet/nGetInfo?jid=[FJCCODEJ1]</a></p>
139- FJCCODEJ[4:15] 150.	<p>Federal Judicial Center identification codes for additional judges in cases decided <i>en banc</i> (there may be up to 15 judges in cases decided by full circuit). See the <i>Codebook Appendix: Judge Identification Codes</i> for a complete list of judges and corresponding identification numbers. Basic biographical information available on internet:  <a href="http://www.fjc.gov/servlet/nGetInfo?jid=[FJCCODEJ1]">www.fjc.gov/servlet/nGetInfo?jid=[FJCCODEJ1]</a></p>