**Case number**

These consist of three parts. The AXX part refers a specific court. The middle digits before the back slash refer to the number of cases filed previously at that court for a given year. The four digits after the backslash refer to the year.

Example: A40- 8939 /2011

**Court**

This is just the name of the court. Since each AXX refers to a specific court, we can easily make a list and then you can automate this.

Alternatively, the name can be found by doing the following: Go to http://kad.arbitr.ru/ and enter the case number A40- 8939 /2011 in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/9ba7f407-dd06-4cc8-ac4b-927b026f5c0d . Then click on the tab labeled Суды и судьи (courts and judges). The top word is the name of the court.

Example: [АС города Москвы](http://www.msk.arbitr.ru/" \t "_blank)

**Plaintiff(s)**

Go to http://kad.arbitr.ru/ and enter the case number A40- 8939 /2011 in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/9ba7f407-dd06-4cc8-ac4b-927b026f5c0d . The name that appears under the field Истцы is the plaintiff. Sometimes there are multiple plaintiffs.

Example: Департамент земельных ресурсов г. Москвы

**Defendant(s)**

Same as for plaintiffs, except for the defendant’s name is under the field Ответчики. Sometimes there are multiple defendants. Also, sometimes the plaintiff/defendants’ name(s) are too long and are only partially shown. In this case, you need to click on “все участники” (this label only comes up if all the participants in the case don’t fit on one page).

Example: ГУП "Гаражно-техническое обслуживание"

**Third Party**

Same as for plaintiffs and defendants, except for the name of the third party is under the field Третьи лица. Often this field is blank, in which case we will want to code as N/A.

Example: Госинспекция по недвижимости г. Москвы

<http://www.tablix.org/~avian/blog/archives/2009/01/unicode_transliteration_in_python/>

**ИНН Plaintiff**

This is a tax ID number. It can be found in the text of the court decision itself. Note that for cases that have been appealed, there are links to more than one decision. The case we are interested in has the phrase Первая инстанция (court of first instance) directly to its left. The tax ID appears right after the abbreviation ИНН. The number follows directly after the name of a firm. The name will have to be matched with the above variable to decide which tax ID is for the plaintiff and which is for the defendant. Often this number is not available, in which case we want to code as NA.

Text documents:

<http://ras.arbitr.ru/Ras/HtmlDocument/85328047-f011-4975-b7c4-8ec961e8ad67>

**ИНН Defendant**

Same process as previous variable

**ОГРН Plaintiff, ОГРН Defendant**

This is a different type of government registration number. We can use the identical process as for the ИНН, where the number of interest is directly after the abbreviation ОГРН.

Note that for cases with individuals, ОГРН is often ОГРИП.

**Type of Plaintiff**

This can be determined by the capital letters preceding the name of the plaintiff.

When no set of capital letters precedes the name, this means the actor is either a government agency and should be coded as “gov” or an individual entrepreneur and should be coded as “individual.” For some cases, individuals have ИП in front of their name. When this is not the case, we will need a way to sort out individuals and government agencies. The way to do this is to check whether the last three letters of the third word in the name end in «вич» or in «вна». If they do, then the plaintiff is an individual. Otherwise the plaintiff is a government organization.

Example: Департамент земельных ресурсов г. Москвы should be coded as “gov”

**Type of Defendant**

This can be determined by the capital letters preceding the name of the defendant. When no set of capital letters precedes the name, this means the actor is either a government agency and should be coded as “gov” or an individual entrepreneur and should be coded as “individual.” For some cases, individuals have ИП in front of their name. When this is not the case, we will need a way to sort out individuals and government agencies. The way to do this is to check whether the last three letters of the third word in the name end in «вич» or in «вна». If they do, then the defendant is an individual. Otherwise the defendant is a government organization.

Example: ГУП "Гаражно-техническое обслуживание" should be coded as “ГУП”

NOTE: we may want to categorize the government agencies into more specific categories. My RA is working on this.

Pension Fund:

ПФР

УПФР

УПФ

Управление Пенсионного Фонда

Anything with root “Пенсион”

Tax Agency:

ИФНС

ФНС

[Инспекция Федеральной налоговой службы](http://kad.arbitr.ru/SideCard/77f3c077-bc5d-4c50-99d8-f43ba6b9ad5e" \t "_blank)

Anything with keyword “налог”

**Address for Plaintiff**

On page with the plaintiff’s name, move cursor over the name and the address appears. I would like to record the whole address for the purpose of matching these firms to other databases later on. Alternatively, if you click on the name of the firm, another screen appears and the address is near the top of the page.

In addition to the overall address, I would like a separate variable listing just the CITY and REGION

Example: 119017, г. Москва, ул. М. Ордынка, д. 15. Here Москва is both the city and the region. By contrast , for the address141703 , Московская Область, Долгопрудный, Якова Гунина, 1, the term Долгопрудный is the city and Московская Область is the region. So we will need to talk more about how to deal with this.

**Address for Defendant**

Same process as for plaintiff

**Judge**

Go to http://kad.arbitr.ru/ and enter the case number A40- 8939 /2011 in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/9ba7f407-dd06-4cc8-ac4b-927b026f5c0d . Then click on the tab labeled Суды и судьи. The bottom name listed is the name of the judge.

Sometimes there are two judge names listed, even if there was only one instance of the court. The first name listed is always the name of the judge that made the final verdict.

Example: Махалкин М. Ю.

**Type of Case**

On the original page of the search engine (http://kad.arbitr.ru/) enter A40- 96605 /2011 and when the case appears you will see a small box next to it with the Russian letter «Г». These cases should be coded as «civil» . When the letter is «А» the case should be coded as “administrative.” When the letter is «Б» the case should be coded as “bankruptcy.” There are rare instances in which no letter is given. In these cases the type of case should be coded as “other.”

**Category of Complaint**

This is the toughest variable to code. See the separate document that is attached. We will need to discuss this further.

**Court Decided to Hear Case**

Go to http://kad.arbitr.ru/ and this time enter case number A40- 96605 /2011 in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/22cbe45b-d73a-4baa-8358-8df3f51c837b.

Note that for cases that have been appealed, there are links to more than one decision. The case we are interested in has the phrase Первая инстанция directly to its left. Sometimes there is more than one Первая инстанция decision. In this case, go down to the one that is the furthest down.

When this line reads Определение об оставлении искового заявления (заявления) без рассмотрения, or

о возвращении искового заявления or

о возвращении заявления or

возвратить заявление or

о передаче дела на рассмотрение другого арбитражного суда or

оставить без рассмотрения заявление

then the court decided not to hear the case. If it reads anything else, the court agreed to hear the case.

If the court decided not to hear the case, code as “0”. If the court heard the case, code as “1”

NOTE: If court decided not to hear case, then all of the rest of the variables (except the number of times previously in court) become N/A.

**Plaintiff Withdrew Case**

Go to http://kad.arbitr.ru/ and this time enter case number A40- 20878 /2011

in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/7fa72038-dcbf-4f69-8ef1-6f04fcdc775b

Note that for cases that have been appealed, there are links to more than one decision. The case we are interested in has the phrase Первая инстанция directly to its left. When this line reads Определение о прекращении производства по делу or принять отказ от иска or определение о возвращении искового заявления, then we need to drill down further and look at the text of the case. If the term мирового соглашения appears, then this is not an example of plaintiff withdrawing case, and this variable should be coded as “0”. If the term мирового соглашения does not appear, then this is an example of the plaintiff withdrawing the case, and the variable should be coded as “1”.

If the title of the case reads something other than Определение о прекращении производства по делу or принять отказ от иска or опредиление о возвращении искового заявления, the case was not withdrawn and should be coded as “0”.

## NOTE: If plaintiff withdrew case, then all of the rest of the variables (except the number of times previously in court) become N/A.

## IMPORTANT NOTE: The label “определение о возвращении искового заявления” is used for both cases that the court didn’t hear and cases that the plaintiff withdrew. We need to talk more about this.

## Settled Out of Court

Go to http://kad.arbitr.ru/ and this time enter case number А40-102041/2011

in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/92af03dc-d547-4376-8b61-33ca7c7f8356

## Note that for cases that have been appealed, there are links to more than one decision. The case we are interested in has the phrase Первая инстанция directly to its left. When this line reads Определение о прекращении производства по делу, then we need to drill down further and look at the text of the case. If the term мирового соглашения or мировое соглашение appears, then this is an example of the case being settled, and this variable should be coded as “1”. If the term мирового соглашения or мировое соглашение does not appear, then this is not an example of the case being settled, and the variable should be coded as “0”.

## If the title of the case reads something other than Определение о прекращении производства по делу, the case was not settled and should be coded as “0”.

## NOTE: If case was settled out of court, then all of the rest of the variables (except the number of times previously in court) become NA.

**Type of Court Document (opredelenie/reshenie)**

Go to http://kad.arbitr.ru/ and enter the case number A40- 8939 /2011 in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/9ba7f407-dd06-4cc8-ac4b-927b026f5c0d . Then drill down on the link to the PDF with the case itself

Near the top of the case will either be the wordОпределение (court declaration)orthe word решение (court decision). For Определение let’s code this as “0” and for решение let’s code this variable as “1”

Example: for the case in this example, the case is a Решение and should be coded as “1”

For case A40- 8686 /2011, the case is an Определение and should be coded as “0”

## NOTE: If type of court document is Определение, then all subsequent variables (except the number of times previously in court) become NA.

**Simplified Procedures used**

Need to check text of the decision and see if the phrase упрощенное производство or упрошенного производства appears. If so, code as “1”, otherwise code as “0”

**Defendant Contesting Complaint**

If any of the following phrases appear, defendant is NOT contesting complaint and this field should be marked with ‘0’:

“Ответчиком отзыв не представлен”

“Ответчик, извещенный в порядке статьи 123 Арбитражного процессуального кодекса Российской федерации, явку своего представителя не обеспечил”

“Ответчик отзыв на иск не представил”

“адресат не явился за получением копии судебного акта”

“Заинтересованное лицо в отзыве на заявление признало задолженность в полном объеме”

“Заинтересованное лицо отзыв не представило”

If the above phrases do not appear, defendant IS contesting the complaint. Mark ‘1’.

NOTE: The process above would still code a significant number of cases as the defendant firm contesting the complaint even though it did not. There were some cases that I encountered where the complaint was not contested, but there was no key phrase that the computer could use to distinguish this; it was only obvious through reading the text. So I’m not sure if this variable is feasible.

**Plaintiff Appeared**

Near the top of the text for each case there is a list of information about the participants. Down near the bottom of this list, but before the text of the case itself begins, there is usually a line that begins от истца (from the plaintiff). If this is followed by не явился, then the plaintiff did not appear. Code as “0”. Otherwise, there will be a name of the plaintiff’s representative, and the variable should be coded as “1”

In some cases the coding for this variable will be more complicated. RA is working on this.

The plaintiff did NOT appear if:

* от истца or от заявителя is followed by “не явился” or “извещен”
* One of the following lines is present in the text of the case:

лица, участвующие в деле, не явились

Лица, участвующие в деле, в судебное заседание не явились

стороны не явились

ходатайство о рассмотрении дела в отсутствие представителя

The plaintiff DID appear if:

* The words от истца or от заявителя exist in the case and are followed by anything besides “не явился” or “извещен”
* The following phrase is in the text: “при участии представителя истца”

It is not certain whether the plaintiff appeared or not if:

* The words от истца or от заявителя are not present in the case, and nor are any of the above listed phrases

**Defendant Appeared**

Near the top of each case there is a list of information about the participants. Down near the bottom of this list, but before the text of the case itself begins, there is usually a line that begins от ответчика (from the defendant). If this is followed by не явился, then the plaintiff did not appear. Code as “0”. Otherwise, there will be a name of the defendant’s representative and the variable should be coded as “1”

In some cases the coding for this variable will be more complicated. RA is working on this.

The defendant did NOT appear if:

* от ответчика or от ответчиков or от заинтересованного лица is followed by “не явился” or “не явились” or “извещен”
* One of the following lines is present in the text of the case:

лица, участвующие в деле, не явились

Лица, участвующие в деле, в судебное заседание не явились

стороны не явились

ходатайство о рассмотрении дела в отсутствие представителя

The defendant DID appear if:

* The words от ответчика or от ответчиков or от заинтересованного лица exist in the case and are followed by anything besides “не явился or ”не явились” or “извещен”
* The following phrase is present in the case: “при участии представителя ответчика”

It is not certain whether the plaintiff appeared or not if:

* The words от ответчика or от ответчиков or от заинтересованного лица are not present in the case, and nor are any of the above listed phrases

**Date of Case Being Filed**

Go to http://kad.arbitr.ru/ and enter the case number A40- 8939 /2011 in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/9ba7f407-dd06-4cc8-ac4b-927b026f5c0d

There will be a blue button with a “+” symbol to the right. Click on this and the case history will expand. Toward the bottom (often the very bottom row) there will be a line labeled Заявление, with a date above it. This is the date we want for this variable.

Note that this is the European system of dates: Day/Month/Year

**Date of the Decision**

Go to http://kad.arbitr.ru/ and enter the case number A40- 8939 /2011 in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/9ba7f407-dd06-4cc8-ac4b-927b026f5c0d

Near the top row to the left you will see a term Первая инстанция, with a date right below it. This is the date we want for this variable.

Note that this is the European system of dates: Day/Month/Year

**Time from Filing to Decision**

The difference in days between the previous two dates.

**Number of Hearings before Decision**

Go to http://kad.arbitr.ru/ and enter the case number A40- 8939 /2011 in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/9ba7f407-dd06-4cc8-ac4b-927b026f5c0d

There will be a blue button with a “+” symbol to the right. Click on this and the case history will expand. Count the number of times the phrase Дата и время судебного заседания appears. This number is what we want for this variable. Note that there is sometimes more than one page in the case history.

**Ruling in Favor of Plaintiff**

When the type of case is civil:

Full Win – Go to http://kad.arbitr.ru/ and this time enter case number A40- 113705 /2011

in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/5298ab13-f787-455c-b1ce-369eda0d3721

Note that for cases that have been appealed, there are links to more than one decision. The case we are interested in has the phrase Первая инстанция directly to its left. When this line reads Иск удовлетворить полностью, this means that the plaintiff has fully won. Code as “2”

Partial win – Go to http://kad.arbitr.ru/ and enter the case number A40- 8939 /2011 in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/9ba7f407-dd06-4cc8-ac4b-927b026f5c0d .

#### Note that for cases that have been appealed, there are links to more than one decision. The case we are interested in has the phrase Первая инстанция directly to its left. When this line reads Иск удовлетворить частично, this means that the plaintiff has partially won. Code as “1”

NOTE: for some courts these two categories are collapsed together so that it is not possible to determine whether the plaintiff fully or partially won (Иск удовлетворить частично или полностью). So we need to take this into account

Plaintiff loses – Go to http://kad.arbitr.ru/ and enter the case A40- 113372 /2011

in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/c0f724bb-2aef-41fe-b8bf-15228d912981.

#### Note that for cases that have been appealed, there are links to more than one decision. The case we are interested in has the phrase Первая инстанция directly to its left. When this line reads В иске отказать полностью or отказать в иске, this means that the plaintiff has lost. Code as “0”

NOTE: Can also get this info by clicking on the Судебные акты tab if this is easier

When the type of case is administrative:

Plaintiff wins—

#### Признать ненормативный правовой акт недействительным в части

#### Признать ненормативный правовой акт недействительным полностью

#### Признать решения и действия (бездействия) незаконными полностью

Иск удовлетворить полностью

#### Признать решение адм. органа незаконным и отменить его полностью

#### Привлечь к административной ответственности

Взыскать обязательные платежи и санкции

Plaintiff loses –

#### Признать решение административного органа законным и отказать в удовлетворении требований заявителя

#### В иске отказать полностью

#### Отказать в признании решения и действий (бездействий) незаконными полностью

#### Признать решение адм. органа незаконным и отменить его полностью

Отказать в признании ненормативного правового акта недействительным

When the type of case is bankruptcy:

Code this variable as NA

**Monetary values**

NOT FEASIBLE?

**Case appealed**

Go to http://kad.arbitr.ru/ and enter the case number A40- 96046 /2011

in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/dbf44a5d-a873-437a-bd92-b5ad7534e8db

If there is a line with the phrase Апелляционная инстанция then the case was appealed. Code as “1”. Otherwise, code as “0”

**Decision upheld**

If case not appealed (i.e., if previous variable coded as “0”) then automatically this variable is NA.

If case appealed and on the line to the right of the term Апелляционная инстанция is the phrase Оставить без изменения решение, а апелляционную жалобу - без удовлетворения , then the decision was upheld. Code this as “1”. Otherwise, decision was not upheld. Code as “0”

**Number of Times Plaintiff was Previously Plaintiff**

Go to http://kad.arbitr.ru/ and enter the case number A40- 41257 /2011 in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/67ab8ed9-c730-49db-98ff-87ae6c7275f8

Under the term Истцы near the top left is the name of the plaintiff or plaintiffs. Here it is: ООО "ААА Независимость Премьер Авто". Click on the name to drill down to a new page: http://kad.arbitr.ru/SideCard/4d9dba23-be50-4bb0-8c6d-2be140359686

Near the top left of this page is a folder symbol with the term Все дела to the right of it. Click on this, which opens a new page back at the original search engine (http://kad.arbitr.ru/).

In the column under the label Истец (plaintiff) there will be some highlighted names. The count of these highlighted lines up until the current case is what is needed for this variable.

THREE THINGS TO NOTE: 1) in many cases there will be more than one page of company names, and this needs to be taken into account. Down at the bottom of the page will be buttons to move to the “next” page. 2) As noted above, we only want to count cases that happened before the current case. 3) Often the database highlights cases with firms that have the same name but are not the same firm as the one we are interested in. To sort this out we need to cross-check addresses. Let’s talk about this.

**Number of Times Plaintiff was Previously Defendant**

Almost the same as for the previous variable until the last step:

Go to http://kad.arbitr.ru/ and enter the case number A40- 41257 /2011 in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/67ab8ed9-c730-49db-98ff-87ae6c7275f8

Under the term Истцы near the top left is the name of the plaintiff or plaintiffs. Here it is: ООО "ААА Независимость Премьер Авто". Click on the name to drill down to a new page: http://kad.arbitr.ru/SideCard/4d9dba23-be50-4bb0-8c6d-2be140359686

Near the top left of this page is a folder symbol with the term Все дела to the right of it. Click on this, which opens a new page back at the original search engine (http://kad.arbitr.ru/).

In the column under the label Ответчик (defendant) there will be some highlighted names. The count of these highlighted lines up until the current case is what is needed for this variable.

THREE THINGS TO NOTE: 1) in many cases there will be more than one page of company names, and this needs to be taken into account. Down at the bottom of the page will be buttons to move to the “next” page. 2) As noted above, we only want to count cases that happened before the current case. 3) Often the database highlights cases with firms that have the same name but are not the same firm as the one we are interested in. To sort this out we need to cross-check addresses. Let’s talk about this.

**Number of Times Defendant was Previously Plaintiff**

Go to http://kad.arbitr.ru/ and enter the case number A40- 41257 /2011 in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/67ab8ed9-c730-49db-98ff-87ae6c7275f8

## Under the term Ответчики near the top left is the name of the plaintiff or plaintiffs. Here it is: ООО ЮНИКОМ

Click on the name to drill down to a new page: http://kad.arbitr.ru/SideCard/b6ba1234-13e6-49a9-9f99-c94efe87e323

Near the top left of this page is a folder symbol with the term Все дела to the right of it. Click on this, which opens a new page back at the original search engine (http://kad.arbitr.ru/).

In the column under the label Истец (plaintiff) there will be some highlighted names. The count of these highlighted lines up until the current case is what is needed for this variable.

TWO THINGS TO NOTE: 1) in many cases there will be more than one page of company names, and this needs to be taken into account. Down at the bottom of the page will be buttons to move to the “next” page. 2) As noted above, we only want to count cases that happened before the current case.

**Number of Times Defendant was Previously Defendant**

Go to http://kad.arbitr.ru/ and enter the case number A40- 41257 /2011 in the field for номер дела. Drill down on the hyperlink that appears, which brings up http://kad.arbitr.ru/Card/67ab8ed9-c730-49db-98ff-87ae6c7275f8

## Under the term Ответчики near the top left is the name of the plaintiff or plaintiffs. Here it is: ООО ЮНИКОМ

Click on the name to drill down to a new page: http://kad.arbitr.ru/SideCard/b6ba1234-13e6-49a9-9f99-c94efe87e323

Near the top left of this page is a folder symbol with the term Все дела to the right of it. Click on this, which opens a new page back at the original search engine (http://kad.arbitr.ru/).

In the column under the label Ответчик (defendant) there will be some highlighted names. The count of these highlighted lines up until the current case is what is needed for this variable.

TWO THINGS TO NOTE: 1) in many cases there will be more than one page of company names, and this needs to be taken into account. Down at the bottom of the page will be buttons to move to the “next” page. 2) As noted above, we only want to count cases that happened before the current case.

**Number of Times Plaintiff a Plaintiff against THIS defendant**

Same process as for preceding variables, but then need to match plaintiff and defendants

**Number of Times Plaintiff was Defendant against THIS defendant**

Same process as for preceding variables, but then need to match plaintiff and defendants

**Number of Pages of Decision**

Count of pages of text in the decision