LITIGATION SUPPORT
DOCUMENT CODING - SPECIFICATIONS

Fields for Coding

Field Name	Field Type	Description
Document Date (DATE)	Single-value	Most relevant date for the document. Dates will be exported as MM/DD/YYYY. If undated, null field will be exported for the missing element of date.
Date Characteristics (ESTIMATED DATE)	Single-value	Check box used to indicate that the document date was estimated or incomplete (i.e. does not contain any of the three date elements – month or date or year). Incomplete element of the date will be zero filled (00). If all of the date elements NOT available then estimated date will be flagged "NO". The actual date that was estimated will be exported in the DATE field.
Document Title (TITLE)	Single-value	An appropriate objective title for the document, which will be coded from a document's "Re" or "Subject" line, verbatim. Do not code "Re", "Fw" or "Sub" words in title. Commas & quotes cannot be used in this field. If no title is captured, export as "Untitled".
Subjective title (SUBJECTIVE TITLE)	Single-Value	An appropriate subjective description of what the document pertains to - using less than 50 words. To code the subjective title, information needs to be captured by reading body of document for first one or two paragraph/s but not beyond the first page. Key information needs to be captured as far as possible. Blank pages will be coded as [BLANK PAGE]. This is a "MUST FILL" field.
Document Type (DOCUMENT TYPE)	Single-value	A descriptive phrase which most closely describes the type of the document. List of Document types with description for each, is attached in this manual.

Field Name	Field Type	Description
Author (AUTHOR/S)	Multi-value	The name(s) of each individual author of the document. The name format is: • LAST, FIRST MI • LAST, FIRST MI • ORGANIZATION If no author is captured, export as "Unknown". Maximum number of entries is 10 *.
Recipient (RECIPIENT/S)	Multi-value	The name(s) of each individual PRIMARY recipient of the document. The format is: • LAST, FIRST MI • LAST, FIRST MI • ORGANIZATION If no recipient is captured, export as "Unknown". Maximum number of entries is 10*.
Copyee (CC/ BCC)	Multi-value	The name(s) of each individual SECONDARY recipient of the document. • LAST, FIRST MI • LAST, FIRST MI • ORGANIZATION If no copyee is captured, export as "Unknown". Maximum number of entries is 10.*
Document descriptors (DOCUMENT CHARACTERISTICS)	Multi Value	Additional information about a document's physical nature and condition. This field informs if a document has notes written in the margins or annotations. The user will also be alerted to the fact that a document contains illegible information, is written in a foreign language, or is marked confidential etc. If no descriptor is captured, export as "None".

* The maximum number of entries for each Name field is 10. If a record has more than 10 names, export [List] as the 11th entry.

** Data for all fields will be captured in ALL CAPS (Upper case)

DATE / ESTIMATED DATE

Capture the date the document was written, created or signed into this field. If multiple dates are found on the document, i.e. multiple signature dates on contracts, the earliest (Oldest) date will be coded. Dates from the body or the text of the document will not be coded.

Documents that have a date range or multiple dates present will have the earliest date entered in the Date field (with the exception of email threads). The date the document was created, will always take precedent. If it is not present, at which point the order of precedence will be followed as presented in the table below. If the date captured for a document is not the written date or creation date or signature date, the estimated date flag will be coded "Yes".

Document Date Capture Criteria for Specific Document Types

Document Type	Instruction
Agreement / Contract	Capture signature date. If unsigned, capture effective date.
Articles / Press Release	Capture creation date or publication date.
Emails with multiple messages	Capture message with most recent date.
Invoice	1) Capture Prepared date 2) Capture date sent 3) Capture Received date
Manuals	Capture print date
Minutes	If no creation date, capture date of meeting and flag estimated.
Pleadings	1) File date 2) Service date 3) Signature date.
Quarterly Reports	Earliest date of date range

Estimated Date Criteria

Date characteristics will be flagged for estimated date "Yes" if one of the following dates is taken into the "DATE" field.

1. Approval Date
2. Revision Date
3. Draft Date
4. "Received" Stamp Date
5. "File" Stamp Date
6. Other Stamp Date
7. Date In Title
8. Fax line Date
9. Meeting date from Minutes of meeting
10. Any of the three elements of date not available (With the exception to all the date elements missing)

TITLE

Code the actual meaningful header in title, VERBATIM. Do not code headers such as "Inter-Office Memorandum", "Via FedEx", Certified Mail", "ABC Inc Confidential" as part of a title.

Use "AND" instead of "&", "NUMBER" instead of "#", "AT" instead of "@" etc.

Multiple sentences will be separated by a space.

Document Title Coding

Item	Instruction
Illegible or Partially Illegible titles.	Enter the phrase [ILLEGIBLE] in the place of the illegible word(s) as necessary (no spaces between the brackets).
Include the entire title of the document in the Title field.	Do not abbreviate or format words in title unless they are abbreviated. Ex: Do not format 12th September'2000 as 09/12/2000
Periods in Titles	Eliminate all periods. If they appear within a solid numeric or alphanumeric string, i.e. a serial number, an exhibit number, a report number, a part number, a patent number etc, replace them with a space.
Hyphens in Titles	Eliminate all hyphens when they separate segments of a number or word. Replace them with a space.
Names in Titles	Personal Names and Organizations in titles will be captured verbatim. Ex: Do not abbreviate CORPORATION to CORP.
Symbols that will not be used in the document title field.	. - ~ ! @ # % ^ & + = { } \	; ' " , < >
Legal Pleadings	Include the actual name of the document and the case/docket number. (E.g. *Complaint* or *Plaintiff's Request for Production of Documents). C*apture the first party from each side followed by "et al".
Bill-Invoice-Purchase Order	Capture heading(s), re:, subject: and/or title line if available, followed by invoice or purchase order number.
Letter or e-mail – No title	If no title is present code the first sentence or phrase within square brackets [ ].
Schematics	From the legend enter the title description and revision number.
Work sheets / Tables – No header	If a work sheet / Table has no header; code all the column headings.

SUBJECTIVE TITLE

The title will be a subjective description. The subjective title is phrased reading the first one or two paragraph/s but not beyond the first page.

Multiple sentences will be separated by a space.

Subjective Title Coding

Document	Subjective Title example
Account Statement	Account statement of <account name> number < account number> from < Time period of statement >
Agenda	Agenda of meeting for discussions on < purpose of meeting> on <Meeting date>
Agreement - Contract	Agreement <Status if it is "Draft"> regarding <Reason for agreement>between <Name> and <Name>
Application - Form	Form <type> and <form number>
Bill – Invoice	Invoice and/or Purchase Order for <First Item> <Etc.>
Calculations /Test Data	Test data for <Project numbers> <Contract number>and <Project name>
Calendar	Calendar from <Time frame>
Catalog	Catalogue of <Product name>
Expense Reports	Expense report <number>, <purpose of expense> <period of travel>and <name or company of person / organization generating report>
Letter	Letter concerning < Intent of letter from first one or two paragraph/s>
Map – Drawing - Diagram	Diagram <Diagram number> and <Project number>

NAME FIELDS – AUTHOR/S, RECIPIENT/S AND CC/BCC

The following rules will apply when coding the Author, Recipient and Carbon Copy/ Blind carbon copy names.

Item	Instruction
No name given.	Company names / organization name will be coded.
Personal names / Organization names	Names will be captured verbatim including the leading articles like "THE".
Names that are crossed out.	Names and organizations will be captured.
Generation designators	Designators such as Jr., Sr., and III will not be included.
Company / Organization Affiliation	• If an individual is affiliated with an organization, the organization name will be coded as a separate name. • Documents with Company Headers: Company will be taken as author
Names that are typewritten, handwritten or in marginalia.	• Names will be coded in their appropriate field E.g. if a handwritten list of names in the margin is preceded by "c.c.: "or "to:" or "from", code them in the Cc, Recipient or Author fields respectively.
Part of the name is illegible. For ex: First name is illegible	[ILLEGIBLE] will be coded in the Author/Recipient/CC field for that fraction of name.
Generic names and department names	Generic names such as "Distribution", "File", and "Team" will be coded. Do not consider department names.
Job titles like director, partner, manager, commissioner, Dr, Mr, Ms, Esq, Esquire etc.	Do not code.
Names preprinted at the top of certain types of letterheads as authors. For ex: Personal letter heads	Preprinted personal names will not automatically be coded in author. The person who actually wrote the letter will be coded.
Periods in Names	Periods in initials, acronyms and abbreviations in organizations will be excluded.
Initials	If the document only contains initials, initials will be captured verbatim. Example: DKS will be exported as "[DKS]" not "S, DK".
Blank Forms & filled forms	The company who produced the form will be coded as the author. For a filled form the person filled the form will become author and the company who produced the form will become recipient.
Agreements	For agreements both parties will be coded as authors.
Foreign Documents	If the names are in English script with clear identification for ex: "To" or "From" or Cc", then only consider them for coding in Recipient or Author or Cc field
Names from e-mail address	Code e-mail addresses as it is. For ex: GEORGE@SOURCEHUBINDIA.COM

Additional Specifications for Names Entered

- If only a first or last name appears, the name will be keyed as it appears.

- When a name is represented by initials, it will be entered exactly as it appears, but without spaces.

- If a last name consists of two or more parts separated by spaces, the last name is keyed without spaces.

- Do not code names from the body or text of the document.

- Punctuation will not be used in name coding:

  1. If the last name is a double name spelled with a hyphen between the names, a hyphen will not be included.

  2. If the name includes an apostrophe, the apostrophe will not be keyed with the name.

Examples:

Appears in Document as:	*Should be coded as:*
James Anthony Jones, III	JONES, JAMES ANTHONY
F.W. Smith	SMITH, FW
Brown	BROWN
Sandy	SANDY
Dr. Ellen Peters	PETERS, ELLEN
Ron Smith-George	SMITHGEORGE, RON
Mr. John O'Neil, Sr,	ONEIL, JOHN
Emily Le Blanc	LEBLANC, EMILY
H. Ross Perot	PEROT, ROSS H
Sandy S.	S, SANDY
To: George Brown of Source Hub	**RECIP:** BROWN, GEORGE
	RECIP_ORG: SOURCE HUB
J. Brown	BROWN, J
Brown, J	BROWN, J
Vela, Mark A.	VELA, MARK A
Smith, Robert, Director of Human Resources	SMITH, ROBERT

DOCUMENT TYPE

Assign one document type only per document.

The document types presented in the following table represent standard document types.

Standard Document Types

Agreement/Contract	Article/Publications	Business
Corporate	Correspondence	File Folder-Binder
Financial	Invoice/Purchase Orders	Government/Regulatory
Legal Document	Manual Technical	Map/Drawing/Diagram/Photo
Marketing	Meeting/Presentation	Patent
Personnel	Test/Test Results	Other
Foreign Document		

Agreement/Contract

Includes signed and draft versions of agreements, contracts, license or letter agreements.

1. **License Agreements** – giving official or legal permission to do or own a specified thing.
2. **Sales Agreements** – exchanging of goods or services for an amount of money or its equivalent.
3. **Terms & Conditions** – act of agreeing to certain conditions for a specified length of time.
4. **Distributor Agreement** – agreement to market or sell
5. **Confidentiality Agreement** – agreement to contain as a secret, entrust, etc.
6. **Confidential Non-Disclosure Agreement** – agreement to contain any information confidential, the "Party" wishes not to be disclosed or revealed.
7. **Non-Disclosure Agreement** – act of not revealing, not making something known, etc.
8. **Letter Agreement** – letter agreeing to an arrangement between parties on a method of action. For a letter to be called as an agreement, both parties should have signed it.
9. **Letter of Authorization** – act of granting authority, or power, give permission, etc.
10. **Settlement Agreement** – an arrangement to adjustment or other understanding reached, etc.
11. **Letter of Intent** – a written statement expressing the intention to enter into a formal agreement.
12. **Other Agreements** – all other agreements that are not listed above.

Article Publications

Includes publicly available published materials. For technical specifications or manuals, if an order number or information on how a copy can be ordered is referenced on the document, this indicates it is "publicly available." Examples:

1.   Published articles/papers – includes newspapers, magazines, or journal articles, conference papers and published papers. Also includes abstracts of articles.
2.   Published manuals – a formal, publicly available document (or excerpt thereof) that provides "how-to" instructions (i.e., user manuals, handbooks, guides, etc.)
3.   Published technical specifications – includes product data sheets, product specifications and specification updates.
4.   Press or news releases – final or draft versions

Business

Documents generated during the course of business. May involve forecast, projections, etc. These are forward-looking documents. Examples:

1. Business Related Reports – documents that summarize, analyze, or list data on business-related topics. Customer visit/trip reports, group operational reviews, demand forecasts, capacity forecasts. (Note: financial reports that relate to actual, incurred expenses and accounting related data, etc., will be coded as "Financial".)
2. Plans/Schedules – includes, but may not be limited to, production schedules, timelines, road maps, action lists, strategic long range plans, manufacturing plans, statement of work, daily planners, calendars, etc. (Note: Memorandum, e-mail or other correspondence discussing scheduling and other planning topics will be coded as "Correspondence")
3. Inventory/customer order status reports - documents that track available inventory or customer order counts. Computer printouts/backlog reports.
4. Factory loading documents – documents relating to preparation and shipping of products (i.e. shipping ban codes, packing lists, etc.)
5. Customer-related documents – documents that track or document the service or return of a part or product. Documents that outline customer issues.
    1. Customer call reports/visit reports
    2. Warranty cards
    3. Customer/client lists
    4. Internal bulletins
    5. Internal news release

Corporate Documents

Documents that are corporate related and deal the structure of an organization. Documents pertaining to the conduct of business matters. Examples:

1. Board of Directors information
2. Shareholder/Stockholder reports
3. Corporate bylaws
4. Business plan/Prospectus
5. Compliance Certificates
6. Articles of Incorporation
7. Organizational Charts

Correspondence

Documents that serve as communications from one individual/company to another

1. Letters
2. Memorandums
3. E-mail – includes Unixmail, Telex or other electronic type of communication.
4. Handwritten – notes and correspondence to/or from a person, which may be handwritten. (Note: other handwritten documents that may be categorized, as an established document type will be coded as such document type.)
5. Facsimile/Facsimile cover sheet – faxed correspondence, faxed messages, and fax cover sheets.
6. Message forms – messages on "while you were out" notepads, telephone messages, etc.
 (Note: All types of correspondence will be categorized in this document type regardless of content. Exceptions: Letter Agreements, which will be coded as Agreement)

File Folder – Binders

1. File folders and their parts
2. File folder – a folder that contains a group of documents related to the folder title, topic, etc. (Note: this information is coded alone without an attachment range unless otherwise specified)
3. Tab – generally not coded alone. Tabs that may be coded alone are:
   - Tab has a clear title
   - Tab has an alpha or numeric indicator
   - And is found loose (without the main document)
4. Binder cover – a binder that solely contains various papers based on the binder title topic, etc. will be coded separately. (Note: Coded separately unless the binder is the actual cover to documents, i.e., books, notebooks, manuals, reports, etc. Documents of this type will be coded as one.)
5. Cover sheet – title/cover page with attached document directly behind which corresponds to the cover sheet (Note: Coded with corresponding document. May code separately, if the title does not match the document.

Financial

Documents that are primarily "financial" in nature and/or reflect actual revenues, unit sales, gross margins, manufacturing costs, etc. Examples

1. Accounting documents – includes, but may not be limited to ledgers, accounts receivables, accounts payable, tax information, etc.
2. Financial statements – Includes, but may not be limited to, balance sheets, income statements, etc.
3. Close documents – relating to the financial "close", i.e., month-end close, etc.
4. Sales/revenue documents – documents that summarize actual sales, revenue, earning profit, margin figures, etc. Also includes forward-looking documents that forecast or predict future sales or revenues, other sales strategies, planning, training, etc.
5. Sales/Revenue Documents –Quotations/Proposals – actual quotations/proposals or requests for quotations/proposals (RFQ/RFP) and sales or pricing proposals prepared for a specific client.
6. Price Lists – pricing lists prepared for a client, etc. (Note: A "publicly available" marketing brochure that also mentions pricing will be coded as "Publication")
7. Annual report – generally discusses the status of the company finances and corporate structure. This document usually contains charts, photos, etc., and looks like a formal publication or brochure.
8. Expense reports – document may contain "expense report" in the title.
9. Checks/check stubs – document will contain a check number in the title.
10. Purchase receipts – all receipts of purchase
11. Check request
12. Credit Card Account Statements

Invoice/Purchase Orders

1. Invoices – title contains "invoice"
2. Purchase orders – title contains "purchase order"

Government/Regulatory

Documents involving government control and administration of public policy, control and direction according to rule, principle or law.
(Note: Generally, any and all issues or enactment by local, state, or federal government departments, legislatures, or enforcement agencies. Examples:

1. Forms
2. Rulings
3. Bills/laws
4. Ordinances
5. Reports
6. Filings
7. Submissions
8. 10-Q, 10K – Documents filed with the Security and Exchange Commission (SEC) relating to the financial status of a company.

Legal

Documents relating to or concerning the law. Authorized by or based on law. Examples:

-Affidavit	- Amendment	- Brief	- Citation	- Complaint	- Declaration
- Deposition	- Judgment	- Motion	- Opinion	- Order	- Petition
- Pleadings	- Request	- Ruling	- Subpoena	- Transcript	- Lexis/Nexis
- Memorandum of Law		- Power of attorney			

Manual Technical

Non-published documents which generally give instructions, directions, procedures, etc. (books, handbooks, etc., may be identified by a book or volume number. (Note: Published manuals, guides, brochures, etc., will be coded as "publication") Examples:

- User Manuals	- Guides/Guide Lines	- Handbooks
- Internal Procedures	- Functional Descriptions	- Architecture Specifications
- Instruction Lists	- Source Codes	- Engineering Notebooks
- Procedures	- Technical Specifications	- Technical Manuals
- Reports		

Map/Drawing/Diagram/Photo

This document will be used for maps, drawing, diagram and photographs that are not part of a report, manual or publication.

1. Construction Diagrams
2. Land Platts
3. Technical Diagrams
4. Overhead Pictures

Marketing

Published marketing materials – publicly available documents used to advertise a product, service, etc., to potential clients. Includes newspaper/magazine ads, product brochures, marketing pamphlets, price lists, product catalogs, etc.
1. Brochures
2. Web pages

Meeting/Presentation

Documents used or intended for use at a meeting, presentation, seminar, etc. Examples

- Agenda   - Attendance List   - Notes   -Phone minutes/Agenda
-Presentation Materials   -Seminars/Course Materials

Patent

A grant made by a government that gives a creator/inventor the honor and the sole right to make, use and sell that invention for a set period of time. (Note: A Patent Number is always available on the document, usually found at the top in bold print (i.e. United States Patent Number: 5,123,456) Examples:

1. United States Patent – document will specify "United States" in the title.
2. International Patent – document will specify "International" in the title.
3. European Patent – document will specify "European" in the title.
4. Foreign Patent – document will be in a foreign language, i.e., Japanese, Swedish, Russian, etc.
5. US PTO – United States Patent and Trade Organization
6. WIPO – World Intellectual Property Organization
7. ITC – International Trade Commission
8. INPI – Institut National de la Propriete Industrielle

Any document to or from any of the Patent and Trademark offices. (Note: documents will be easily identified by one of the following: application number, serial number, family number, and/or patent number available within the text) Examples:

1. Search reports – word "search report" is part of the title. Generally, this is an attachment to a patent.
2. Examiners actions – document will specify "Examiners Action" "Prosecution History" and will be contained in a file wrapper.
3. Fee calculation sheet – "fee calculation " is part of the title.
4. Filing receipt – "filing receipt" is part of the title.
5. Examiner's report – "examiner's report" is part of the title.
6. Pleadings – document will have a pleading format and the Patent Trademark office or Examiner will be present in the style.

(Note: PTO pleadings will also reference a patent number, serial number, and may also have the invention title available)

Personnel

Documents related to the administrative division of a company/organization. Examples:

- Resume
- Curriculum Vitae
- Bibliographies
- Employment Application

- Administrative Forms
- Employee Transfers
- Employee Training
- Employee Notices

- Performance Forms
- Timesheets

Tests/Test Results

Documents that consist of actual test information or results recorded from tests on samples, etc. Examples:

- Analysis
- Results
- Data Runs
- Lab Results
- Computer Results
- Comparison Samples
- Run
- Evaluation

Foreign Document

Documents that are not in English script and are totally in foreign language.

Other

Documents that do not have a natural fit into the document types listed above will be coded to this category.

DOCUMENT CHARACTERISTICS

Enter as many characteristics as possible from the table below.

Annotation / Marginalia	Use this for documents that contain information, written in the margins or added to the document that changes or adds to the interpretation of the document. Do not include date received stamps, file stamps, confidential stamps, file notations and "FYI". Use this code for highlighted text.
Confidential / Privileged	A document so stamped.
Draft	A document so stamped.
Foreign Language	A document has any other language content in it other than English.
Illegible	Documents from which information cannot be coded due to poor image / scanning quality.
Pages Missing	A document that has missing pages.
Attorney / Client Privileged	A document so stamped or indicated.
Redacted	A document that has been intentionally censored or partially obscured (white out) prior to copying. A stamp or hand-written note may indicate "Redacted". Note: Highlighting often looks like black out of text after it has been photocopied. Use ANNOTATION for highlighted text.
Hand written	A document has handwritten content other than marginalia / annotation.
Fax line	A document with a fax line on the top or in the bottom.

General instructions:

1. If there are multiple documents within a document for ex: One page invoice with packing list as a second page; the first real document will be considered for coding of names, dates and title fields. In the above case the first real document is an invoice.
2. If a document has multiple communications, take the most recent communication for coding names, dates and title. For ex: If "A" has received a letter from "B" on 30th of July and he had forwarded it to "C" with a handwritten note on it on 1st August; the handwritten note will be considered for coding. Author – B, Recipient – C, Cc – Unknown (Do not code even if there are Cc's in the original letter from "B' to "A"), Date – 08/01/0000, Estimated date – Yes, Doc type – Correspondence, Document descriptors – Hand written and so on.
3. Multiple entries within a field are separated by semicolon without space.