
Handbook on the FRG NCLT cases data-set

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Finance Research Group

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1 Introduction

This handbook is a guide for reading and using the FRG NCLT cases datap-set. The FRG NCLT cases data-set contains data from the causelists published by the National Companies Law Tribunal (NCLT) on its website: <https://nclt.gov.in/>

The handbook is organised as follows. Section 2 explains the scope of the data-set and the source of the data in detail. Section 3 explains the steps that a user must run to generate the data-set from the raw data files scraped from the website of the NCLT. Section 4 is the codebook for reading and understanding the field contained in the FRG NCLT cases data-set.

Preferred citation: The data-set must be cited as “Finance Research Group, FRG NCLT cases data-set.”

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2 Scope of the data-set, updates and terms of use

The data-set captures the raw data from the daily causelists uploaded on the website of the NCLT. The first version of the data-set contains the data for the causelists uploaded on the website of the NCLT from 23rd February, 2018 until 31st January, 2020. We will endeavour to make quarterly updates to the data-set.

Each causelist contains a list of the cases that are scheduled to be heard by a courtroom at a bench of the NCLT on the date indicated in the causelist. A version of the causelist is published on the immediately preceding evening containing the list of cases that are scheduled to be heard on the immediately following day. At the end of each working day, a more detailed version of the causelist is published briefly indicating the manner in which each case was dealt with on that day. The FRG NCLT cases data-set scrapes data from the causelist published on the website of the NCLT at the end of each working day.

To the best of our knowledge and information, the NCLT does not have a consistent archival policy across its benches. To the extent possible, the raw causelists are archived on the servers belonging to the Finance Research Group.

3 How to set up the data for analysis

The structure of the directory containing the programs for scraping the data, aggregating it, generating the output and the codebook, is described below. The third column indicates the form of the output.

DATA-SCRAPER	<p>This folder contains the scripts to grab the data from the causelists. There are four scripts in total, which should be run sequentially when scraping data for the first time.</p> <p>The details of the scripts and software requirements are explained in README.md in the directory.</p>	Separate .csv files for the causelist of each courtroom of each bench.
DATA-AGGREGATOR	<p>The scripts in this folder collate the scraped NCLT cause-list data and generate a consolidated output file containing all the data scraped using the scripts in the DATA-SCRAPER folder.</p> <p>The details of the scripts and software requirements are explained in README.md in the directory.</p>	A .csv file.
CODEBOOK-GENERATOR	<p>There are three scripts in this folder that will generate the Codebook for the data, which is essentially, the section titled Codebook in this Handbook.</p> <p>The details of the scripts are explained in README.md in the directory.</p>	The codebook.

3.1 Overview of the fields in the FRG NCLT cases data-set

Table 1 gives an overview of the 11 fields in the FRG NCLT cases data-set.

Field	Data Type	Formats or Sub-categories*	Uniques
S.No	Numerical	Eg: 1, 2, 3	478
Date	Character	YYYY-MM-DD	472
Bench	Factor	Eg: New Delhi Bench Court-IV, Ahmedabad Bench, New Delhi Bench Court-III, Kolkata Bench, Cuttack Bench	15
Court	Factor	Eg: Main Board Court-II, Court-III, Court II, Main Board Court-I, Court-II	7
CP/CA No	Character	Eg: CA(CAA)-58(PB)/2019, CP(IB)No.2002/KB/2019, 88(ND)2017	49,816

Case Purpose	Factor	Eg: Hearing; For further consideration; New petition; Admission; For order; C.A No.1182/C-II/ND/2019; C.A No.339/C-II/ND/2019 C.A No.340/C-II/ND/2019 C.A No.347/C-II/ND/2019; C.A No. 656/C-II/ND/2018	9,229
Section	Factor	Eg: 252; 7 IBC; U/s 9 of IBC Code,2016; M/s Small Industries Development Bank of India; r 11, S 43 9 60(5) IBC 2016	3,410
Name of Parties	Character	Eg: M/s Edutech Publishing Pvt Ltd Vs ROC SBI Vs M/s UIC Udyog Ltd.	37,049
Name of the Legal Practitioner	Character	Eg: Petitioner Advocate : Kanishk Khetan Subhash Chandra Sarkar, Adv. Respondent Advocate : – Petitioner Advocate : Mr. K CH Venkat Reddy Respondent Advocate : –	28,243
Remarks	Factor	Eg: NA, Allowed, Disposed, 12-06-2018, Transferred to Principal Bench, Cost of Rs 1,00,000	12,944
Coram	Factor	Eg: Hon’ble Member(J) Smt. Ina Malhotra; Hon’ble Member (T), Sh.S.K.Mohapatra; Hon’ble Member(J), Shri M.K. Shrawat ; Hon’ble Member (T), Sh.S.K.Mohapatra	154

* The list of categorical variables is non-exhaustive

Table 1: Overview of fields in the FRG NCLT cases data-set

4 Codebook

The data-set contains 11 fields for each entry captured in the data-set. This section is a codebook for reading these entries.

4.1 Description of the fields in the FRG NCLT cases data-set

S. No.

This is the serial number at which a matter appears in the causelist. The serial number is generally indicative of the order in which cases scheduled on that day will be taken up. Table 2 indicates the range of the S. No. in the data-set and the count at the highest and lowest S. No.

Range of S. No.	1-902
Number of cases recorded with the lowest Sr. No.	5460
Number of cases recorded with the highest Sr. No.	2

Table 2: Summary on Sr. No. in the data-set

Date

The field indicates the date of the causelist. Table 3 indicates the start and end date of this version of the data-set.

Start date	23/02/2018
End date	22/01/2020
No. of unique days	472
Total no. of entries	
2018	72,631
2019	1,14,735
2020	7,322
Total	1,94,688
Avg.no. of entries per day	412.47

Table 3: Summary on dates in the data-set

Bench

This entry indicates the bench to which the data applies. Table 4 lists the benches for which the data has been collected, the number of matters for which data has been collected and the number of days captured for each bench in the data-set.

Bench	No. of entries	No. of days
Ahmedabad	359	25
Bengaluru	13,519	287
Chandigarh	10,603	352
Chennai	80	26
Cuttack	2362	129
Guwahati	1214	302
Hyderabad	4145	85
Jaipur	5,059	162
Kolkata	30,978	413
Mumbai	57,549	413
New Delhi	68,128	467
(including Principal Bench)		
Registrar NCLT	692	175
Total	1,93,668	472

Table 4: No. of entries and days per bench

Courtroom

Each bench may have one or more courtrooms. This field indicates the courtroom for which the data is captured. Table 5 shows the number of courtrooms for which data has been captured in the data-set.

Bench	No. of courtrooms
Ahmedabad	1
Bengaluru	1
Chandigarh	1
Chennai	2
Cuttack	1
Guwahati	1
Hyderabad	2
Jaipur	1
Kolkata	2
Mumbai	3
New Delhi	4
(including Principal Bench)	
Registrar's court	1
Total	20

Table 5: Benches and courtrooms in the data-set

Table 6 gives an overview of the number of entries, their proportion to the aggregate data, and the number of days of data across benches and courtrooms.

Bench	No. of days	No. of matters (%)
Mumbai Bench: Main Board Court-I	397	21,899 (11.25)
Principal Bench: Court-I	413	21,265 (10.92)
New Delhi Bench Court-II: Court-II	337	18,850 (9.68)
Mumbai Bench: Court-III	393	18,296 (9.40)
Mumbai Bench: Main Board Court-II	405	17,354 (8.91)
Kolkata Bench: Court-I	342	16,269 (8.36)
New Delhi Bench Court-III: Court-III	370	15,462 (7.94)
Kolkata Bench: Court II	342	14,709 (7.56)
Bengaluru Bench: Court-I	470	13,519 (6.94)
New Delhi Bench Court-IV: Court-IV	353	12,552 (6.45)
Chandigarh Bench: Court-I	433	10,603 (5.45)
Jaipur Bench: Court-I	162	5,060 (2.60)
Cuttack Bench: Court-I	129	2,362 (1.21)
Hyderabad Bench: Court-I	83	2,275 (1.17)
Hyderabad Bench: Court-II	75	1,870 (0.96)
Guwahati Bench: Court-I	302	1,214 (0.62)
Registrar NCLT: Court-I	175	692 (0.36)
Ahmedabad Bench: Court-I	25	359 (0.18)
Chennai Bench: Court-I	8	45 (0.02)
Chennai Bench: Court-II	4	35 (0.02)

Table 6: Summary on courtrooms, benches and entries in the data-set

CP/CA No.

The CP/ CA No. is a unique number assigned to each company petition or company application filed with the NCLT. There is no uniform method of assigning these numbers across benches, and they are not fed uniformly into the causlists. There is no finite classification of the information in this field. Table 7 indicates the largest buckets of numbers assigned to cases in the data-set.

Bench	Count	%
No. of entries beginning with “CP”	47,919	24.61
No. of entries beginning with “IB”	30,141	15.48
No. of entries beginning with “Appeal No.”	12,852	6.60
No. of entries beginning with “CA”	12,353	6.34
No. of entries beginning with “IA”	2,528	1.29
No. of entries beginning with “(CAA)”	1,971	1.01
Others	86,924	44.64

Table 7: Entries beginning with different sets of letters

Case Purpose

The case purpose indicates the purpose for which the case was listed on the causelist. There is no standard method of recording the case purpose. For example, the same case purpose may be recorded in different ways. There is no finite classification of the information in this field. Table 8 lists the count of the categories comprising 60% of the entries in the field of 'case-purpose'.

Case Purpose	Count	%
Hearing	36,376	18.68
For further consideration	27,484	14.12
For Further Consideration	22,440	11.53
Further Consideration	15,327	7.87
New Petition	12,498	6.42
Mentioning	7,365	3.78
For hearing	6,939	3.56
Admission	4,348	2.23
For Order	3,399	1.75
For admission	2,828	1.45
For Hearing	2,277	1.17
NA	2,254	1.16
For further Consideration	2,118	1.09
For Fixing Date	1,957	1.01
For Admission	1,743	0.90
Arguments	1,667	0.86
Final Hearing	1,507	0.77
For final hearing	1,202	0.62
Service	1,009	0.52
New Petition-Mention	833	0.43
For Arguments	801	0.41
For hearing before admission	775	0.40
For Further Connsideration	751	0.39
Consideration	669	0.34
For Pronouncement of Order	626	0.32

Table 8: Case purpose1

For facilitating an analysis of the data, our script converts the output into lowercase letters. Table 9 lists the count of the categories comprising 60% of the entries in the field of 'case-purpose', if the lower case function is applied to this field.

Case Purpose	Count	%
for further consideration	52,250	26.84
hearing	36,384	18.69

further consideration	15,392	7.91
new petition	12,628	6.49
for hearing	9,227	4.74
mentioning	7,368	3.78
admission	4,742	2.44
for admission	4,581	2.35
for order	3,657	1.88
NA	2,254	1.16
for fixing date	2,179	1.12
arguments	2,110	1.08
final hearing	1,543	0.79
for final hearing	1,318	0.68
service	1,242	0.64
for pronouncement of order	1,017	0.52
for orders	1,013	0.52
pronouncement	929	0.48
for arguments	849	0.44
new petition-mention	833	0.43
for settlement	827	0.42
for hearing before admission	775	0.40
for further connsideration	751	0.39
consideration	686	0.35
for clarification	686	0.35

Table 9: Case purpose2

Section

The section number refers to the section number to which the listed case pertains. There is no standard method of recording the section numbers. While some of them are recorded with the abbreviated name of the law, others are recorded without reference to the law. Table 10 gives an overview of the data in this field.

Section	Count	%
252	16,588	8.52
U/s 9 of (IBC)	15,232	7.82
230-232	14,891	7.65
9 IBC	10,844	5.57
U/s 7 of (IBC)	7,989	4.10
U/s. 7 of (IBC)	7,483	3.84
U/s 9 Of (IBC)	6,555	3.37
7 IBC	6,535	3.36
252(1)	6,342	3.26
U/s 9 of IBC Code,2016	5,491	2.82

U/s. 9 of (IBC)	4,978	2.56
252(3)	4,715	2.42
241-242	3,842	1.97
U/s 7 of IBC Code,2016	3,706	1.90
397/398	3,661	1.88
U/s 7 Of (IBC)	3,138	1.61
U/s 9 IBC code 2016	3,101	1.59
73(4)	2,449	1.26
U/s. 7 of (IBC) CIRP	2,374	1.22
397-398	2,301	1.18
I & BC	2,060	1.06
241/242	1,751	0.90
441	1,692	0.87
9 IBC 2016	1,594	0.82
Sec 9 of I&B code	1,537	0.79

Table 10: Section nos.

Name of Parties

The name of the party indicates the name of the parties to the application or petition. There is no standard method of recording the names of the parties. The same party may be recorded differently in each entry on the causelist.

Name of the Legal Practitioner

This field indicates the name of the legal practitioner representing the petitioner and the respondent. There is no standard method of recording the names of the parties. The same party may be recorded differently in each entry on the causelist.

Remarks

This field indicates the manner in which the matter was dealt with by the bench on the date it was listed in the causelist. There is no standard method of recording the case purpose. For example, the remarks in respect of matters which have been dealt with in an identical manner, may be recorded in different ways. There is no finite classification of the information in this field. Table 11 lists the count of the entries forming the largest groups of the entries in the field of Remarks.

Remarks	Count	%
NA	3,177	1.63
Order reserved	2,192	1.13
Allowed	1,785	0.92
Reserved for order	1,674	0.86
Disposed	1,642	0.84

Disposed of	1,523	0.78
RFO	1,501	0.77
Order Reserved	1,195	0.61
ALLOWED	1,121	0.58
Reserved for Order	706	0.36
Dismissed as withdrawn	680	0.35
CA Disposed of	663	0.34
Dismissed	603	0.31
DISMISSED	555	0.29
Order Pronounced	547	0.28
DISMISSED AS WITHDRAWN	477	0.25
19.12.2019	429	0.22
20.08.2019	416	0.21
WOB	380	0.20
21.08.2019	371	0.19
Admitted	371	0.19
disposed	353	0.18
RESERVE FOR ORDER	344	0.18
30.05.2019	343	0.18
20.12.2018	338	0.17

Table 11: CaseRemarks1

The script converts all the entries in this field into lower case letters. Table 12 lists the count of the entries forming the largest groups of entries in the field of 'Remarks', if the lower case function were applied to this field.

Remarks	Count	%
order reserved	3,553	1.82
NA	3,177	1.63
allowed	2,958	1.52
reserved for order	2,553	1.31
disposed	2,061	1.06
disposed of	1,641	0.84
rfo	1,558	0.80
dismissed as withdrawn	1,301	0.67
dismissed	1,210	0.62
order pronounced	798	0.41
ca disposed of	797	0.41
admitted	674	0.35
reserve for order	583	0.30
cp allowed	564	0.29
for orders	525	0.27
19.12.2019	429	0.22

withdrawn	420	0.22
ca disposed of	418	0.21
20.08.2019	416	0.21
for order	407	0.21
disposed off	387	0.20
wob	384	0.20
21.08.2019	371	0.19
cp admitted	370	0.19
cp dismissed as withdrawn	361	0.19

Table 12: CaseRemarks2

Coram

This field indicates the coram of judges in the courtroom who dealt with the matter.

Coram	Count	%
Hon'ble Member(J), Shri Madan Balachandra Gosavi	14,658	7.53
Hon'ble Member (J), Sh. K. R. Jinan	14,197	7.29
Hon'ble Member (J) Shri Bhaskara Pantula Mohan; Hon'ble Member (T) Shri V. Nallasenapathy	12,606	6.47
Chief Justice (Rtd.) Shri M M Kumar, Hon'ble President; Hon'ble Member (T), Sh.S.K.Mohapatra	11,613	5.96
Hon'ble Member (J) Shri M. K Shrawat	10,667	5.48
Hon'ble Member (J), Shri Rajeswara Rao Vittanala; Hon'ble Member (T), Dr. Ashok Kumar Mishra	10,170	5.22
Hon'ble Member (J) Shri. V. P. Singh; Hon'ble Member (T) Shri Ravikumar Duraisamy	10,071	5.17
Hon'ble Member (J), Dr. Deepti Mukesh	9,827	5.05
Hon'ble Member (J), Smt. Ina malhotra; Hon'ble Member (T), Dr. V.K. Subburaj	5,788	2.97
Hon'ble Member (J) Shri Bhaskara Pantula Mohan; SHRI. SHYAM BABU GAUTAM, HON'BLE MEMBER (T)	5,138	2.64
Hon'ble Member (J), Sh. R. Varadhara-jan; Hon'ble Member (T), Sh. V.K. Subburaj	4,723	2.43
Hon'ble Member (J), Dr. Deepti Mukesh; Hon'ble Member (T), Sh.S.K.Mohapatra	4,699	2.41

Hon'ble Member (J), Smt. Ina malhotra;	4,641	2.38
Hon'ble Member (T), Smt. Deepa Krishan		
Hon'ble Member (T), Mr. Pradeep R. Sethi; Hon'ble Mr. Ajay Kumar Vatsavayi, Member(Judicial)	4,241	2.18
Hon'ble Member (J) Shri B. S. V. Prakash Kumar ; Hon'ble Member (T) Shri Ravikumar Duraisamy	4,154	2.13
Hon'ble Member(J), Mr. Justice R. P. Nagrath, Member; Hon'ble Member (T), Mr. Pradeep R. Sethi	4,135	2.12
Hon'ble Member (J) Shri Bhaskara Pantula Mohan; SHRI. RAJESH SHARMA, HON'BLE MEMBER (T)	3,923	2.01
Hon'ble Member (J) Shri M. K Shrawat; SHRI.CHANDRA BHAN SINGH, HON'BLE MEMBER (T)	3,885	2.00
Hon'ble Member (J), Sh. R. Varadhara-jan; MS. DEEPA KRISHAN, HON'BLE MEMBER (T)	3,643	1.87
Hon'ble Member (J) Shri. V. P. Singh; SHRI. RAJESH SHARMA, HON'BLE MEMBER (T)	3,240	1.66
Hon'ble Member (J), Smt. Ina malhotra	3,077	1.58
Hon'ble Member (J), Dr. Deepti Mukesh; Shri Hemant Kumar Sarangi, Hon'ble Member (Technical)	2,835	1.46
Hon'ble Member (J), Smt. Ina malhotra; Shri L.N. Gupta, Hon'ble Member (T)	2,786	1.43
Hon'ble Member (J), Shri Ratakonda Murali; Hon'ble Member (T), Dr. Ashok Kumar Mishra	2,181	1.12
Hon'ble Member (J), Sh. K. R. Jinnan; Hon'ble Member(J), Shri Madan Balachandra Gosavi	1,931	0.99

5 Exploratory Cleaning of Selected Fields

In this section, we search through a column using a regular expression for carefully picked keywords to display values of the column that could potentially be grouped together. The dataframe that we search through has dates grouped together and is lowercased, as shown in the previous section.

5.1 Case Purpose

5.1.1 Keyword: “consider”

Case.Purpose	Count
for further consideration	29,959
further consideration	9,907
consideration	653
for consideration	83
for further consideration high court of orissa	39

5.1.2 Keyword: “hearing”

Case.Purpose	Count
hearing	8,199
for hearing	5,804
for final hearing	1,210
reply/hearing	488
for hearing before admission	393
final hearing	388
admission/hearing	148
for hearing (moved)	103
ma hearing	93
re-hearing	72

5.1.3 Keyword: “petition”

Case.Purpose	Count
new petition	7,943
new petition 2nd motion	108
new petition-mention	32
new petition (2nd motion)	17
amended petition	10

5.1.4 Keyword: “admis”

Case.Purpose	Count
admission	3,883
for admission	3,393
for hearing before admission	393
admission/hearing	148
hearing before admission	66

5.1.5 Keyword: “order”

Case.Purpose	Count
for order	3,400
for pronouncement of order	963
for orders	960
for pronouncement of orders	501
for pronouncement of the order	308
for pronoucement of the order	289
order	201
pronouncement of order	109
for order pronouncement	18
for pronouncement order	13

5.1.6 Keyword: “mention”

Case.Purpose	Count
mentioning	2,661
for being mentioned	105
urgent ma mentioning	97
mentioning*	96
ma mentioning	90

5.1.7 Keyword: “argument”

Case.Purpose	Count
arguments	1,875
for arguments	238
argument	54
for argument	43
settlement/arguments	22

5.1.8 Keyword: “service”

Case.Purpose	Count
service	1,074
for filing proof of service of notice to roc	153
for filing proof of service of notice to corporate debtor	54
service of notice	21
service/hearing	15

5.1.9 Keyword: “reply”

Case.Purpose	Count
reply	522
reply/hearing	488
for filing reply	20
reply/arguments	15
reply/report	11

5.2 Section

5.2.1 Keywords: “ibc”, “i&b”, “i & b”, etc.

Section	Count
9 ibc	10,216
7 ibc	6,238
u/s 9 of (ibc)	3,732
u/s 9 ibc code 2016	3,700
u/s 7 of (ibc)	2,370
sec 9 of i&b code	1,980
u/s. 9 of (ibc)	1,809
u/s. 7 of (ibc)	1,804
u/s 9 of ibc code,2016	1,397
9 ibc 2016	1,346
i & bc	1,206
u/s 7 ibc code 2016	1,151
sec 9 of i&b code 2016	1,146
sec 7 of i&b code	679
u/s. 7 of (ibc) cirp	657
7 ibc 2016	644
9 of ibc	571
sec 7 of i&b code 2016	541
u/s 7 of ibc code,2016	507
9 of ibc, 2016	435
9, ibc 2016	362
i&bc	335
u/s 8 & 9 of (ibc)	320
10 ibc	312
u/s 10 of (ibc)	309
7 ibc code 2016	282
60(5) ibc 2016	265
7 of ibc, 2016	228
7 of ibc	225
u/s.8 & 9 of (ibc)	208

5.2.2 Keywords: “252”, “232”, “230”, “241”, etc (all 3 digit numbers starting with 2)

Section	Count
252	10,269
230-232	9,440
252(3)	4,259
252(1)	2,656
241/242	1,251
252 (3)	1,229
241-242	1,054
sec 252	893
sec 230-232	660
sec 252(3)	409
241	358
sec 230-232 of ca 2013	314
230	247
230-232 ca 2013	243
271(d)	212
271-272	205
sec 241-242	168
252(3) ca 2013	153
sec 252 of ca 2013	151
sec 241-242 of ca 2013	137
230-232 of ca, 2013	118
230/232	118
252(1) & 252(3)	114
271 (c) / 243	114
271 & 272	110
271/272	108
230/ 232	103
sec 241/ 242	93
252 (1)	90
271(c)(d) & 272(3)	85

5.3 Remarks

5.3.1 Keyword: “admit”

Remarks	Count
admitted	674
cp admitted	370
admitted	29
petition admitted	16
cp admitted	6

5.3.2 Keyword: “dismiss”

Remarks	Count
dismissed as withdrawn	1,301
dismissed	1,210
cp dismissed as withdrawn	361
cp dismissed	203
ca dismissed	121
dismissed as default	74
ma dismissed	54
dismissed for default	46
dismissed in default	44
dismissed for non prosecution	43

5.3.3 Keywords: “wob”, “wrong”

Remarks	Count
wob	384
wrongly listed	217
wrongly on board	124
wob court 4	15
wob court 5	13

5.3.4 Keywords: “rfo”, “reserved”

Remarks	Count
order reserved	3,553
reserved for order	2,553
rfo	1,558
cp rfo	235
orders reserved	233
reserved	190
heard rfo	180
reserved for orders	137
cp heard rfo	82
ma rfo	53

5.3.5 Keyword: “dispose”

Remarks	Count
disposed	2,061
disposed of	1,641
ca disposed of	797
disposed off	387
cp disposed of	361
disposed as withdrawn	255
cp is disposed of vide separate order	157
ca disposed	132
cp disposed	128
disposed of vide separate order	100
disposed/withdrawn	81
cp disposed of by separate order	58
ma disposed	51
cp is disposed off vide separate order	45
disposed of as withdrawn	44