

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**

*(See Instructions on reverse)*

LEAVE BLANK

JOB NO.

NCL-257-85-2

TO: **GENERAL SERVICES ADMINISTRATION  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

DATE RECEIVED

8-13-85

1. FROM (Agency or establishment)

NOTIFICATION TO AGENCY

DEPARTMENT OF LABOR

2. MAJOR SUBDIVISION

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

BUREAU OF LABOR STATISTICS

3. MINOR SUBDIVISION

OFFICE OF PRICES AND LIVING CONDITIONS

4. NAME OF PERSON WITH WHOM TO CONFER

5. TELEPHONE EXT.

DATE

ARCHIVIST OF THE UNITED STATES

KAREN NUNLEY

523-1468

6-4-87

*Frank A. Bandy*

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 182 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence:  is attached or  is unnecessary.

~~attached~~  
attached

B. DATE

C. SIGNATURE OF AGENCY REPRESENTATIVE

D. TITLE

29 JUL 85

*Karen Nunley*

DEPARTMENTAL  
RECORDS OFFICER

7.  
ITEM  
NO.

8. DESCRIPTION OF ITEM  
*(With Inclusive Dates or Retention Periods)*

9. GRS OR  
SUPERSEDED  
JOB  
CITATION

10. ACTION  
TAKEN  
*(NARS USE  
ONLY)*

Records pertaining to the Office of the Associate Commissioner - Office of Prices and Living Conditions; the International Prices Indexes Program; and the Producer Price Indexes Program of the Bureau of Labor Statistics. (See following pages.)

445 *Nunley*

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**NOTE:** An Asterisk (\*) has been placed in front of the item numbers of files described in the Schedule which could lead to the pinpointing of individual establishments and could thus be considered confidential.

In some instances, only segments of the total file described as an item would be involved.

**ADMINISTRATIVE HISTORY OF THE PRICE  
STATISTICS PROGRAMS WITH EMPHASIS ON THE PRODUCER PRICES  
INDEXES (WHOLESALE PRICE INDEX) AND THE INTERNATIONAL  
(U.S. EXPORT-IMPORT) PRICE INDEXES**

**Early History - Wholesale Price Index (WPI)**

Even before the predecessor organization to the Bureau of Labor Statistics became a Bureau in the Department of Commerce and Labor in 1903, work was underway in publishing statistics on wholesale prices, retail prices, and the cost of living. The Wholesale Price Index, however, was the oldest continuous statistical series published by the Bureau, and one of the oldest in the Federal Government.

The origins of the Wholesale Price Index are associated with a resolution of the U.S. Senate in 1891 (the Aldrich Report), which authorized the Senate Committee on Finance to investigate the effects of the tariff laws "upon imports and exports, the growth, development, production, and prices of agricultural and manufactured articles at home and abroad."

Wholesale price figures were first compiled and published by the Bureau in 1900, covering the period 1890-1899. Beginning in 1902 wholesale price data were compiled and published annually in the Bureau's Bulletin series and as articles in the Monthly Labor Review.

In 1922, special wholesale monthly price statements were prepared and published about the 15th of the month following that to which the data related. Monthly press releases were also issued. The wholesale price data in the early annual Bulletins, issued in March of each year, provided money quotations and index numbers for the commodities covered from 1890 to the year preceding the year of publication.

The first Wholesale Price Index published on the base period 1890-1899 covered about 250 commodities. The present successor Producer Prices Index (PPI), being phased out at the time of this writing, using its traditional commodity-oriented methodology, generated price indexes covering some 3000 commodities arranged under a unique BLS numerical commodity coding system.

As of 1922, there was a Wholesale Prices Section in the Bureau's Division of Statistics that was responsible for the issuance of the wholesale price statistics. Separate Sections for Retail Prices and for Cost of Living Statistics were also in the Division of Statistics in 1922.

## Spot Market Price Index

As early as January 1934, at the request of the Department of the Treasury, BLS began the computation of a daily wholesale commodity price index (the Spot Market Price Index) using quotations for some 28 sensitive commodities at specified markets. This Index was first released to the general public as of January 1940, with August 1939 as base.

In 1952, the Index was revised to reflect a sample of 22 commodities at specified markets. In 1969, computation of the Index was shifted from daily to weekly each Tuesday, and as of 1982 the Index was discontinued.

## Early Organizational Changes Involving Prices Statistics

As of 1935, the Wholesale Prices Section of the Statistics Division of the Bureau had been elevated to Division status - the Wholesale Prices Division - reporting to the Commissioner of the BLS. Separate Divisions were also established for Retail Prices and for Cost of Living statistics.

In the 1940 organization chart for BLS, Branches were higher in the organizational structure than Divisions. That chart indicated that the entire prices statistics program of the BLS had been consolidated within a Branch of Prices and Cost of Living. Separate Divisions were established for Wholesale Prices, Retail Prices, and for Cost of Living statistics. As of 1942, in addition to these three Divisions, a Price Analysis Division and a Historical Studies of Wartime Problems Division had been included under the Branch.

As of 1946, the Prices and Cost of Living Branch consisted of an Industrial Prices Division responsible for the WPI and Spot Market Indexes as well as for collection of U.S. export and import prices statistics; a Consumers Prices Division; a Cost of Living Division; a General Price Research and Indexes Divisions; and a Branch Operations Division.

As of 1948, the nomenclature of the BLS organizational structure was reversed. Divisions became the higher level in the structure and branches the subordinate level within divisions. The same organization as in 1946 was responsible for prices statistics except that it was now known as the Division of Prices and Cost of Living with the same five subordinate branches. The Division Chief at the time was Edward D. Hollander, and due to budgetary restrictions, the collection of U.S export and import price statistics was discontinued.

Mr. Hollander remained as Chief of the Prices and Cost of Living Division until 1953, when Ms. Dorothy Brady became Chief. From 1956 to 1959 H.E. Riley served as Division Chief, from 1959 - 1960 Sidney A. Jaffe served as Chief, and in 1960 Arnold E. Chase became Division Chief.

In 1962, a transitional year, Mr. Chase was listed in the Department Telephone Book as Director for Prices and Living Conditions. Under him were Divisions of Industrial Prices and Price Indexes, Consumer Prices and Price Indexes, Living Conditions Studies, and Price Operations.

In 1963, the Telephone Book indicates that Division Directors had been designated as Assistant Bureau Commissioners. Mr. Chase was listed as Assistant Commissioner for Prices and Living Conditions. In addition to the four Divisions included in 1962, an additional Division for Prices and Index Number Research had been established.

### Industry (Producer) Price Indexes

The Wholesale Price Index (WPI) and the Spot Market Price Index were based on reports of various commodity prices, and the WPI was structured in accordance with a unique BLS numerical commodity coding scheme. In 1961, the National Bureau of Economic Research recommended to the Bureau of the Budget that BLS should issue industry price indexes structured in accordance with the Standard Industrial Classification system (SIC) used in many of the Federal Government's economic analysis efforts.

While BLS in the 1950's had prepared some industry price statistics in connection with special projects, it initiated in 1962 the preparation and publication of industry price time series for various industries arranged in accordance with industries at the 4-digit SIC classification level. Within each 4-digit SIC industry covered by the program, product price indexes associated with an industry were grouped, typically at the 5 to 9-digit SIC levels, under each industry of origin. Until 1978, such "Industry Sector Price Indexes" were derived from data reported for the commodity-based Wholesale Price Index, and then converted to the 4-digit SIC industry classifications with further SIC subdivision of products thereunder.

By 1978, the Producer Price Index Revision Program (PPIR) had begun publication of industry price indexes based on reported data from samples of 4-digit SIC industries and their products. Also in 1978 the Wholesale Price Index (WPI) name was changed to the Producer Price Index (PPI). By 1986, it is planned to phase out all price reporting for the commodity-based Producer Price Index in mining and manufacturing industries and to publish, based on the 4-digit SIC industry sample price reports, producer

price indexes (PPIR) covering some 488 4-digit SIC mining and manufacturing industries and their associated products. Commodity price indexes will still be published, but by 1986 it is planned that they will be derived from reported price data obtained from 4-digit SIC industry samples and then converted to the unique BLS numerical commodity classification scheme.

### Recent Organizational Changes Affecting the Prices Statistics Program

By 1968, responsibility for the operations involved in processing the price index statistics was transferred from the Division of Operations of the Office of Prices and Living Conditions to a newly established Office of Data Collection and Survey Operations under Assistant Commissioner Robert Pearl. In 1972, the name of this Support Office was changed to Office of Statistical Operations and Processing under Deputy Commissioner Thomas W. Garrett.

By 1979, this Office was known as the Office of Statistical Operations under Assistant Commissioner William E. Eisenberg. At that time, there were two Divisions in the Office responsible for price statistics operations - a Division of Industrial Prices and Industrial Relations, and a Division of Consumer Prices and Consumption Studies. Except for a change of the Office title to Office of Survey Processing in 1983, the nomenclature for the two Divisions for prices statistics remains the same at the time of this writing.

In the Office of Prices and Living Conditions, except for the transfer of the Division of Operations, the same four Divisions as in 1963 were in evidence in 1968, namely - Division of Industrial Prices and Price Indexes, Division of Consumer Prices and Price Indexes, Division of Living Conditions Studies, and Division of Prices and Index Number Research.

By 1970, Mr. Joel Popkin had become Assistant Commissioner for Prices and Living Conditions (OPLC) replacing Mr. Chase with the same subordinate divisions. By 1974 Mr. W. John Layng had become Assistant Commissioner. A new division had been added, the Division of International Price Indexes, responsible for issuing the recently inaugurated International Price Indexes.

### International Price Indexes

The International Price Program (IPP) grew out of a long standing need for accurate measures of price changes for U.S. exports and imports. In the period immediately after World

War II, BLS had begun collecting data on U.S. export and import prices, but the program was terminated in 1948 because of budgetary restrictions.

In 1961, in a report of the National Bureau of Economic Research, it was recommended that responsibility for compilation of U.S. export and import price indexes be assigned to a Federal agency. BLS began research in 1967 on the feasibility of reintroducing export and import price indexes, and in FY 1970 funds were allocated for the program.

Export price indexes were first published in 1971 and import price indexes in 1973. Data were collected annually for June of each year until 1974, when collection began on a quarterly basis. By 1984, published indexes provided complete coverage of the U.S. exports and imports.

### Current Organizational Structure for Prices Statistics

By 1983, Mr. Kenneth Dalton, who had replaced Mr. Layng as Assistant Commissioner for Prices and Living Conditions, was named Associate Commissioner for Prices and Living Conditions. In addition to the five Divisions in the Office under Mr. Layng, a sixth Division had been added, the Division of Price Statistical Methods. In addition, Mr. Thomas Tibbets, who headed the Division of Industrial Prices and Price Indexes, had been named Assistant Commissioner, and Mr. John Early had been named Assistant Commissioner heading the Division of Consumer Prices and Price Indexes.

Other Offices directly involved in the Prices Index programs include the Office of Survey Processing with its Divisions of Industrial Prices and Industrial Relations and of Consumer Prices and Consumption Studies, as well as the Office of Field Operations National with its Division of Field Collection Activities.

### Binder of Schedule

This Schedule is presented in a format reflecting the organization of the Bureau of Labor Statistics Offices covered as of the time of this writing in 1985. Its disposition authorizations will remain in effect regardless of any future organizational changes in the BLS Offices covered as long as the files described in its contents continue to accumulate and serve the same purpose.

## EXPLANATORY STATEMENTS

### A. Documentation of Survey Methodology.

In connection with the International and Producer Prices Indexes, BLS systematically documents the methodological approaches adopted in developing and issuing its survey data in the following manner:

1. Publishing Explanatory Methodological Statements. A BLS Handbook of Methods is published and updated periodically to explain the statistical methodology used in the various statistical programs of the Bureau, including detailed explanations for the Producer and International Price Indexes programs. In addition, Technical Notes are included in the monthly "Producer Prices and Price Indexes" Bulletins providing methodological explanations of Producer Price Indexes. The record copies of such publications are listed as permanent on the Schedule to ensure their appropriate preservation.
2. Maintenance of International Statistical and Procedural Manuals and Technical Memoranda. Particularly in the Price Indexes program, because of their size and complexity, and the decentralization of responsibility for various parts of the program between program and support Headquarters offices and Headquarters and Regional Offices, great emphasis is placed on the issuance of internal statistical and procedural manuals explaining methodology adopted. Such manual coverage is extensive in both the International and Producer Prices Programs, and they provide excellent documentation of detailed procedures used in generating these Indexes.

The manuals are currently maintained and updated by special organizational units responsible for such tasks. They document the uniform procedures carried out by the many different offices involved in issuing the published indexes for these programs.

In addition to the manualization of these statistical operations, special procedural Technical Memoranda are issued for the periodic or special surveys of these price programs, again providing further documentation of methodology employed. The record copies of these Manuals and Technical Memoranda are listed as permanent on the Schedule to ensure their appropriate preservation.



Also, the Office responsible for the LABSTAT system containing many of the permanent machine readable time series results of the BLS surveys issues such manuals as a User Guide and a Series Directory to assist users of LABSTAT machine-readable records.

3. Documentation of ADP Operations. The support office for the International and Producer Prices Indexes Programs, the Division of Industrial Prices and Industrial Relations of the Office of Survey Processing provides detailed documentation of the computerized operations involved.

Such detailed uniform ADP Systems documentation is achieved through the issuance of computer-prepared data dictionaries and related documentation for each of the many computerized data bases or systems concerned with the International or Producer Prices Indexes programs.

There are two types of these data dictionaries - the logical or analysis of requirements dictionary listings, and the physical or detailed design dictionary listings. The logical or analyses dictionaries describe the processes in the system under consideration and explain what a proposed system will entail. Together with the logical dictionary listing, a systems analysis package can include such other documentation as diagram statements such as data flow, data structure or data production diagrams, record layouts, and the like.

The physical or design package provides detailed specifics as to the various steps involved in a proposed system. In addition to the physical data dictionary listing, such a package could include various supplemental statements such as system flow charts at the program level, data base design charts, machine test diagrams, and the like.

These documentary ADP system packages are listed as permanent on the Schedule to ensure their appropriate preservation.

#### B. Long Term Tape Maintenance.

BLS will provide required maintenance procedures to machine-readable records transferred to WNRC for a period of more than five years storage. A notification system will be established to identify those stored BLS tapes needing maintenance procedures in order to comply with the requirements of 41 CFR 36-1207 covering maintenance of machine-readable records.

C. Record Copy of BLS Publications.

The term "record copy" for publications is used in this Schedule to designate the most complete set of a BLS publication in the best physical condition which will be a permanent record for eventual transfer to the Archives of the United States.

D. Micrographic Publication Standards.

When micrographic publications are to be accessioned to the Archives of the United States in lieu of printed copies, the microfiche are to be prepared in accordance with 36 CFR 1230.14.

**BUREAU OF LABOR STATISTICS**  
**PROPOSED SCHEDULE**

**Listing of Permanent Records Proposed for Transfer to**  
**Archives of the United States**

**BLS, OFFICE OF PRICES AND LIVING CONDITIONS**

**Office of the Associate Commissioner, BLS**

- Item 1. OPLC Associate Commissioner Program Direction Files.
- Arranged Alphabetically      1960 - date  
by Name or Subject.
- Volume: 55 cubic feet      Accretion: Three cubic feet  
per year
- Item 2. OPLC Deputy Associate Commissioner Program Files.  
(Inactive)
- Arranged Alphabetically      1969 - 1980  
by Subject.
- Volume: 1 cubic foot      Accretion: None

OFFICE OF PRICES AND LIVING CONDITIONS  
DIVISION OF INTERNATIONAL PRICES

Item 13. IPP Technical Memoranda.

Arranged by date                      1974 - date  
Volume: One folder                      Accretion: Negligible

Item 16. U.S. Export and Import Price Indexes Press Release Record Copy.

Arranged by date                      1971 - date (with gaps)  
Volume: One cubic foot                      Accretion: Negligible

Item 20. Export and Import Price Indexes LABSTAT Files.

Arranged by date                      1964 - date  
Volume: One tape                      Accretion: Negligible

Item 29. LABSTAT Segment on Comparisons of U.S. German and Japanese Export Price Indexes.

Arranged by product and                      1970 - date  
    date thereunder  
Volume: One tape                      Accretion: None

Item 30. U.S., Germany, and Japan Comparative Export Index  
Documentation Book.

Arranged by procedure            1974 - date

Volume: One binder            Accretion: Negligible

Item 31. International Price Bulletin and Research Publication  
Record Copy File.

Arranged by title and            1980 - date  
date

Volume: Less than one            Accretion: Negligible  
cubic foot

OFFICE OF SURVEY PROCESSING OFFICES  
CONCERNED WITH THE INTERNATIONAL PRICE PROGRAM (IPP)

IPP Procedures Section, OSP

Item 39. International Price Program Manuals Record Copy File.

Arranged by title and 1980 - date  
date

Volume: Two cubic feet      Accretion: Negligible

IPP Systems Support Section (SSS)

Item 48. IPP Data Dictionary File.

Arranged by title of 1981 - date  
system involved

Volume: One cubic foot      Accretion: Negligible

BLS, DIVISION OF INDUSTRIAL PRICES AND PRICE INDEXES

Office of the Assistant Commissioner, Division of  
Industrial Prices and Price Indexes

Item 94. Weighting and Related Methodology Historical Files.

Arranged by Subject 1938 - 1974

Volume: Three cubic feet Accretion: None

Item 95. Producer Price Index Revision (PIIR Development Files).

Arranged by Subject 1976 - date

Volume: Two cubic feet Accretion: Negligible

Item 96. PIIR Development Committee Files.

Arranged by Subject 1974 - date

Volume: Two cubic feet Accretion: Negligible

Item 102. "Quality Quarterly" Newsletter Record Copy.

Arranged by date 1982 - date

Volume: Negligible Accretion: Negligible

Branches of Durable and Non-Durable Goods Industry Prices

Item 132. Annual Motor Vehicle Quality Adjustment Press Release File.

Arranged by date 1974 - date

Volume: One binder Accretion: Negligible

Item 136. Durable Goods Special Price Index Issuances.

Arranged by index and date thereunder 1970 - date

Volume: Six cubic feet Accretion: Negligible





**OFFICE OF SURVEY PROCESSING**  
**DIVISION OF INDUSTRIAL PRICES AND INDUSTRIAL RELATIONS**

**Planning and Procedures Branch**

Item 208. Record Copy of PPIR Directives - Manuals.

Arranged: (1) Manuals            1978 - date  
          alphabetically by title  
          and (2) Others by date

Volume: Four cubic feet    Accretion: Negligible

Item 209. Record Copy of 4-Digit SIC Industry Product - Transaction Checklists - Industry Synopses and Related Collection Forms.

Arranged by SIC Industry    1978 - date

Volume: Two cubic feet    Accretion: Two one-inch  
   binders per  
   year

Item 210. Record Copy of PPIR Newsletters.

Arranged by date                    1978 - date

Volume: Two binders            Accretion: Negligible

**Producer Price Index Revision System Service Staffs**

Item 226. Data Dictionaries and Other System Documentation Files.

Arranged by system                1978 - date

Volume: seven cubic feet    Accretion: Negligible

BLS, OFFICE OF FIELD OPERATIONS - NATIONAL  
DIVISION OF FIELD COLLECTION ACTIVITIES

Branch of Industrial Price Programs and Process CPI Price Audit

Item 303. Record Copy of PPIR Operating Instructions.

Arranged primarily by            1978 - date  
date

Volume: Two binders            Accretion: Negligible

Item 307. Record Copy of International Price Program Operations Memorandums.

Arranged by date                1977 - date

Volume: One binder            Accretion: Negligible

**BUREAU OF LABOR STATISTICS  
PROPOSED SCHEDULE**

**Cross Reference to the Disposition Authorities of  
this Proposed Schedule to Existing October 1, 1971  
Schedule NN170-100**

**OFFICE OF PRICES AND LIVING CONDITIONS**

**Office of the Associate Commissioner**

The proposed Schedule covers these records under Items 1 through 6.

Only Item 1 of the old Schedule NN170-100 appears appropriate. It relates to Items 1 and 2 of the proposed Schedule, but is not completely obsoleted.

The remainder of Items 1 through 6 of the proposed Schedule are not directly covered by NN170-100.

**OFFICE OF PRICES AND LIVING CONDITIONS**  
**DIVISION OF INTERNATIONAL PRICES**

The proposed Schedule covers this Division's records under Items 7-39. Item 1 of the NN170-100 Schedule seems to be somewhat applicable to Item 7 of the proposed Schedule, but applies to other offices as well.

Sub-Item 45 of N170-100 appears to be obsoleted by Item 21 of the proposed Schedule. It does not appear that other items of the proposed Schedule for the Division of International Prices are directly covered by Schedule NN170-100.

**OFFICE OF SURVEY PROCESSING (OSP)**  
**ORGANIZATIONS CONCERNED WITH THE INTERNATIONAL**  
**PRICES PROGRAM (IPP)**

- IPP Procedures Section, OSP;
- IPP Systems Support Section (SSS); and
- IPP Data Services Section (DSS).

The proposed Schedule covers the records of these sections under Items 39-73. Only the following Items appear to be obsoleted by the proposed Schedule.

	<b><u>Schedule NN170-100</u></b>	<b><u>Proposed Schedule</u></b>
Items	45a	54
Items	45b	59
Items	45f	63

No other items covering the records of these Sections appear to be directly related to Items of Schedule NN170-100.

**OFFICE OF PRICES AND LIVING CONDITIONS**  
**STATISTICAL METHODS DIVISION**

**IPP Branch**

The proposed Schedule covers the records of this Branch under Items 74-86.

None of the Items of the proposed Schedule for this Branch are directly covered in the Schedule NN170-100.

**OFFICE OF PRICES AND LIVING CONDITIONS**

**Division of Industrial Prices and Price Indexes**

The proposed Schedule covers the records of this Division under Items 87-198. They are listed under the following organizations:

- Office of the Assistant Commissioner (87-100).
- Quality Assurance Staff (101-108).
- Branch of Durable Goods Industry Prices and Branch of Non-Durable Goods Industry Prices (109-147).
- Branch of Index Analysis and Control (148-169).
- Branch of Service Industry Prices (170-198).

Since the Schedule NN170-100 was developed in 1970-71, the then Wholesale Price Index Program has been replaced by the Producer Price Index Program and now by the Producer Price Index Revision Program. In that period, major system changes have occurred. During 1984, extensive computerization system changes were completed and the few remaining aspects of the old system will be phased out in 1986. The old Records Schedule, primarily, reflects records pertaining to an obsolete system, and very few records on hand were covered by that Schedule. Possibly, some Wholesale Prices Program records under the Schedule NN170-100 may be stored at the Washington National Records Center.

Only the following Items appear to be somewhat related; but are not obsoleted by this proposed Schedule.

<u>Schedule NN170-100 Items</u>	<u>Proposed Schedule</u>
(These apply to other Offices as well)	
1	87, 93
2b	94, 95, 96
9	97

The remainder of Items 87-198 of the proposed Schedule are not covered by NN170-100.

**OFFICE OF SURVEY PROCESSING**  
**DIVISION OF INDUSTRIAL PRICES AND INDUSTRIAL RELATIONS**

The records of this Division pertaining to its internal management and its support of the Producer Prices Program are covered in Items 199-267 of the proposed Schedule. They are listed under the following organizations:

- Office of the Project Manager (199-204).
- Planning and Procedures Branch (205-220).
- System Service Staffs (221-244).
- Producer Price Indexes Program Data Support Staff (245-264).
- Records Common to all IPIR Offices (265-267).

As a result of the extensive computer system developments involving the Producer Prices Program, Schedule NN170-100 which was issued in 1971 covers few of the records of this Division.

Item 1 of old Schedule NN170-100 appears to relate to Items 199, 200, and 202 of the proposed Schedule, but is not obsoleted by them. In addition, Item 58a of the old Schedule is obsoleted by Item 252 of the proposed Schedule.

The remainder of the Items in the proposed Schedule for this Division are not covered by the old Schedule NN170-100.



OFFICE OF PRICES AND LIVING CONDITIONS  
DIVISION OF STATISTICAL METHODS

PPIR Branch

The proposed Schedule covers the records of this Branch under Items 268-291.

None of the records of this Branch appear to be directly covered by Schedule NN170-100.

OFFICE OF FIELD OPERATIONS - NATIONAL  
DIVISION OF FIELD COLLECTION ACTIVITIES

BRANCH OF INDUSTRIAL PRICES PROGRAMS AND CPI  
PROCESS AUDITS

The records of this Branch are covered under Items 292-319 of the proposed Schedule.

None of the records of this Branch are directly covered under old Schedule NN170-100.

**OFFICE OF PRICES AND LIVING CONDITIONS**

a. Mission. To plan, direct, and manage a program of price change measurement and consumer expenditure estimation for the United States economy.

b. Functions.

(1) Administers the Bureau's program of studies and reports on prices and living conditions, including: consumer incomes, spending, savings and liquidity, housing conditions, and cost of living; consumer, industrial, and foreign trade price trends, price structures, pricing practices, and price developments; and measures of inflation in the economy.

(2) Directs the preparation of material for publication in the Consumer Prices and Price Indexes, Producer Prices and Price Indexes, International Price Indexes, and Consumer Expenditure Estimates, as press releases and other sources; plans and prepares special reports and publications on general price situations.

(3) Advises other Federal agencies, State and local agencies, foreign governmental agencies, and private groups in the United States on the measurement of consumer expenditure and price change.

(4) Advises and consults with key Department of Labor officials in planning and implementing the statistical and economic aspects of their programs.

(5) Participates with the Commissioner in the formulation of Bureau policy; serves on the Executive Committee.

**OFFICE OF THE ASSOCIATE COMMISSIONER**  
**OFFICE OF PRICES AND LIVING CONDITIONS**

1. OPLC Associate Commissioner Program Direction Files. General correspondence and related records maintained by the Associate Commissioner for Prices and Living Conditions, (formerly Assistant Commissioner) reflecting the executive direction of the important prices and living conditions statistics programs of the Bureau. The file consists of an active segment reflecting the records created or accumulated by the present incumbent, Kenneth Dalton, or brought forward from the files of previous Assistant Commissioners such as John Layng or Joel Popkin.

The file provides an overall reflection of the administration of the various programs and projects carried out by the Office of Prices and Living Conditions (OPLC). The file contains the record copy of controlled policy correspondence relating to OPLC programs, records pertaining to Office participation in various committees or conferences or meetings, such as the Business Research Advisory Committee or the Labor Research Advisory Committee, and copies of various speeches or articles of the Associate Commissioner or his predecessors.

There is also an inactive segment of the file reflecting the two files accumulated or created by former Assistant Commissioners of OPLC John Layng and Joel Popkin.

The file segments, whether active or inactive, cover mainly program matters although some records are included reflecting the Associate Commissioner's interest in budgetary or other administrative or management matters.

The files are basically arranged alphabetically by names or subject, and include an A-Z general correspondence collection which contain the following: collections relating to such major current or inactive programs as the Consumer Price Index, the 1968-1976 Consumer Price Index revision program, the Producer Price and former Wholesale Price Index Program, the Continuing Consumer Expenditure Survey, Living Conditions Studies, Family Budget Surveys, International Price Surveys, Research into Price Indexes and Statistics, and the like; collections reflecting speeches or articles of the Associate or former Assistant Commissioners as well as their review of or comments on various articles or speeches of other economists or statisticians or their participation in various meetings and conferences; and also collections covering the appearance of the Associate Commissioner before various Congressional committees or their submission of data for Congressional committees.

Retention Period. Permanent. Break file every five years and bring forward active materials as required. Offer for transfer to the Archives of the United States in blocks of ten years when the most recent record is twenty years old.

2. OPLC Deputy Associate Commissioner Program Files. General correspondence and related records maintained by the former Deputy Assistant Commissioner, William Barron and by the present Deputy Associate Commissioner, Robert Gillingham. At the time of this writing, the Gillingham file is quite small and had recently been established. It consists of white copies of correspondence within OPLC for which Mr. Gillingham is included in the distribution list as well as copies of recent articles filed alphabetically by author.

The Barron files are in two segments and are inactive. One segment reflects the responsibilities of Mr. Barron in the overall office management or administrative area and covers from 1976-1981 in an A-Z break. It contains such topics as Personnel Actions, annual leave, GAO audit of the CPI, Personnel Ceilings, Merit Pay, Freedom of Information Act Index, Report of Family Budget Committee, and OPLC History.

The second inactive segment reflects Mr. Barron's responsibilities regarding the management of the Continuing Consumer Expenditure Survey (CCES) and the Current Point of Purchase Survey (CPOPS). It includes certain earlier files on CCES of Assistant Commissioners Popkin and Layng dating from 1969 concerning the pretest and covers a span of years until 1980. Folder headings include Sampling Specifications, Evaluation Papers, Diary Research Topics, Organizational Memoranda, CCES questionnaires, and a 1978-1980 folder on CPOPS. The file is roughly alphabetical by headings, and consists of about one cubic foot.

Retention Period.

- a. Current File of Deputy Associate Commissioner. Destroy when no longer needed for current business.
- b. Management Segment of Barron File. Destroy when ten years old or when no longer needed for current business, whichever is sooner.
- c. CCES-CPOPS Segment of Barron File. Permanent. Combine with Associate Commissioner Program Direction File for accessioning to the Archives of the United States. (See previous item.)

3. Budget Files. While certain of the general files of the Associate Commissioner or Deputy Associate (Assistant) Commissioner contain some materials on budgetary submissions and execution, separate files on OPLC budgetary matters were also maintained. Assistant Commissioner Joel Popkins maintained binders and folders covering budgetary submissions for early years, while a separate current budget file is also maintained for the Office of the Associate Commissioner. This current file, while covering the years from 1969 to the present concerns OPLC budget submissions to the Bureau, Bureau Submissions, and also contains headings for Congressional Budget and OMB Budget. File is basically chronologically arranged, and consists of yearly 3-ring binders as well as standard folders of materials.

Retention Period. Destroy when ten years old, or when no longer needed for current business, whichever is later.

4. Office Chronological File. Consists of a copy of letters or memoranda signed by the Associate Commissioner or prepared in the Office of the Associate Commissioner and maintained in binders by date.

Retention Period. Destroy when five years old.

5. National Bureau of Economic Research Report Files. Consists of a series of reproduced reports, many marked "Preliminary and Confidential", issued by the National Bureau of Economic Research reflecting the reports of various committees or task forces or conferences sponsored by the NBER. Most reports are from the period 1955-1956 and cover a wide range of economic subjects. This collection was accumulated in the Office of the Assistant Commissioner and is arranged alphabetically by name of the principal author of the report.

Retention Period. Destroy when no longer needed for current business.

6. Administrative Assistant Administrative File. This file maintained by the Administrative Assistant concerns primarily personnel matters of OPLC. The bulk of the file comprises three segments of alphabetically arranged Notification of Personnel Action forms and related records broken into the three chronological batches.

Also included are training reimbursement form files for OPLC personnel, copies of requests for personnel action, records pertaining to time and attendance, materials on employee travel, office copies of Earning and Leave Statement forms, requests for overtime, noncontract air travel justification forms, SES

Appraisal records, Flexitime records, and records on other internal administrative matters as assigned.

The Bureau record copy of these files is primarily maintained by the Central Bureau Administrative offices. Personnel name files appear to be covered by the Privacy Act.

Retention Period. Destroy when five years old, except that Personnel name files shall be destroyed one year after separation or transfer of employee.

## DIVISION OF INTERNATIONAL PRICES

a. Mission. To direct studies of price competitiveness and to develop and expand coverage of export and import price indexes.

b. Functions.

(1) Conducts analysis and research in the conceptual and statistical methodology used in the measurement, interpretation, analysis, and reporting of export and import prices and price indexes.

(2) Develops and expands the coverage of export and import indexes and assesses the competitiveness of U.S. goods in world markets. Certifies the compilation of such data and validates it for release.

## BRANCH OF EXPORT AND IMPORT PRICE INDEXES

### Functions

(1) Develops and evaluates techniques of compiling export and import price indexes and special indexes as needed.

(2) Develops weighting structures for export and import price indexes.

(3) Advises other groups on the construction, use, and limitations of export and import price indexes.

(4) Develops data system needs for export and import price indexes and special calculations.

(5) Analyzes and interprets export and import price indexes: prepares reports, releases, and special publications.

## BRANCH OF INTERNATIONAL PRODUCTS AND SERVICES

### Functions

(1) Conducts studies of market organizations, price structures and trends, price practices and variances.



(2) Prepares reports on prices and price trends for significant products and services.

(3) Selects items to be priced to represent significant price trends and to meet the needs of users of price data.

(4) Develops technical specifications to be used in obtaining price data. Classifies price data in accordance with appropriate classification systems.

(5) Analyzes price data for representativeness and significance.

(6) Provides technical guidance and assistance to regional offices initiating export and import price reporters.

#### **BRANCH OF INTERNATIONAL PRICE COMPETITIVENESS**

##### **Functions**

(1) Prepares measures of the change in U.S. international price competitiveness for significant products and services.

(2) Conducts studies and prepares reports analyzing the measures of change in U.S. price competitiveness.

(3) Analyzes available foreign and domestic data and selects items to be priced to assure comparability with foreign products and services.

(4) Develops technical procedures and plans to be used in preparing measures of price competitiveness.

(5) Advises other groups on the construction, interpretation, and limitations of the measures of price competitiveness.

## International Price Program

### Background

The International Price Program (IPP) provides indexes of prices for U.S. exports and imports. The program grew out of a longstanding need for accurate measures of price changes in the foreign trade sector of the U.S. economy. The present program began in 1967 when BLS began research on the feasibility of export and import price indexes. This research resulted in funds being allocated for the program in FY 1970.

### Published U.S. Export-Import Price Indexes

U.S. export and import price indexes cover transactions in nonmilitary goods between the United States and the rest of the world. The export price indexes provide measures of price change for U.S. products sold to other countries, and the import price indexes provide measures of price change for goods purchased from other countries by U.S. residents.

Export price indexes were first published in 1971 and import price indexes in 1973. Data were collected annually for June of each year until 1974 when collection and publication began on a quarterly basis. Gradually, the program has been expanded. For example, published coverage as of September 1975 accounted for twenty-seven percent of the 1974 value of exports and six percent of the 1974 value of imports. By 1984, published indexes provided complete coverage of the value of U.S. exports and imports. Data are collected from over 6,000 companies for more than 14,000 products.

In addition to general indexes of prices for U.S. exports and imports, indexes are also published for detailed product categories of exports and imports. These categories are defined by the 4-digit level of detail of the Standard International Trade Classification System (SITC). The calculation of U.S. export and import price indexes by SITC category facilitates the comparison of U.S. price trends and sector production with the export and import price trends of other countries. Indexes are not prepared for SITC categories with small values of trade.

The product universe of the export price indexes consists of all products sold by U.S. residents to foreign buyers. ("Residents" refers to the national income account definition; it includes corporations, businesses, and individuals but does not require either U.S. ownership or U.S. citizenship.) The product universe of the import price indexes covers all products

purchased from abroad by U.S. residents. The universe in the case of each of these indexes includes raw materials, agricultural products, semifinished manufactures, and finished manufactures, including both capital goods (electrical machinery, agricultural equipment, textile equipment, etc.) and consumer goods (appliances, electronic equipment, clothing, etc.)

Price data are collected quarterly by mail questionnaire and reporting is voluntary and confidential. In nearly all cases, price data are collected directly from the exporter or importer, although in a few cases, prices are obtained from brokers. Price reporting by firms is initiated by a visit from a Bureau Regional Office representative, at which time the reporting requirements are explained verbally and in writing, and the selection of products for which the firm will report price information is made. No index is published in such a way as to reveal the name, price, or price behavior of any respondent.

Information initially provided by a firm usually contains data for the current and previous quarter. Subsequent current prices are collected quarterly by mail. Telephone contact is maintained, as necessary, each quarter with the person at the firm who is responsible for providing the price information. In addition, respondents are revisited periodically in order to review reporting practices and requirements and to reselect products for which prices are reported. Frequently during these revisits, some products are dropped from further reporting and new items are added.

Secondary data sources are used for certain products for which other Government agencies collect export or import price data from industry sources. For example, secondary source data for crude petroleum imports are obtained from the Department of Energy and for grain exports from the Department of Agriculture.

The U.S. export and import price indexes are published in quarterly press releases. The releases contain tables with index figures and a brief synopsis of price movements in broad product categories during the current quarter. Beginning in 1982, more comprehensive analytical articles have also been published semi-annually in the Monthly Labor Review. In addition, the index tables are available to the public in LABSTAT - described in the below-listed records series.

In production of the indexes, the Division of International Prices of the Office of Prices and Living Conditions serves as the central program and controlling office, supported by the Statistical Methods Division of the Office of Prices and Living Conditions, the Office of Survey Processing, the Office of Field Operations, and the BLS Regional Offices.

## Periodic Unpublished International Prices Indexes

The Division of International Prices on a regular, periodic basis provides unpublished export and import price indexes. They are usually transmitted by letter, quarterly, to such addressees as the Department of Commerce's Bureau of Economic Analysis (BEA), the Department of the Treasury, and the Special Trade Representative. They may be available to others, on request.

These indexes are normally compiled by computer runs using data in the IPP data base. Examples are: (1) the BEA index of U.S. exports and imports with products categorized and sequenced in accordance with a BEA product classification scheme; (2) the Index of Prices of U.S. Exports to OPEC countries; and (3) Index of Prices of U.S. Exports to Japan.

Records involved vary, including copies of letters and the index tables being included in the files of the Associate Commissioner in the cases of U.S. exports to OPEC and U.S. exports to Japan, and inclusion of time series index tables in LABSTAT in the case of the BEA index.

### U.S., German, Japanese Export Prices Comparison Index and Special Research Projects

Time series indexes, annually from 1973 and quarterly from March 1974 to date, are maintained in a confidential data base and are made available to the public in machine-readable format through LABSTAT, and in printed format by Bulletin 2046, and periodic updates to this Bulletin. These indexes provide international price change comparisons for comparable categories of products exported from the U.S. and Germany, and the U.S. and Japan.

For each of the some seventy-one products covered at the time of this writing, the following U.S.-Germany, or U.S.-Japan comparative export price index data are shown: (1) U.S. export price index in dollars, (2) Germany or Japan export price index in national currencies, (3) Germany or Japan export price index in dollars, (4) Ratio of export price indexes in national currencies, and (5) Ratio of export price indexes in dollars.

The index is updated at irregular time periods by the Division, and typically is revised at 4 or 5 year intervals to reflect the periodic German or Japanese revisions to their export indexes.

On occasion, the Division also undertakes special research projects covering various aspects of international trade and export and import prices.

7. Division Chief Program and Administrative Files. Files consist of documents reflecting the Division Chief's direction of the program operations and internal administration of the Division.

Program operations papers have folder titles such as Analytical Group for Trade Negotiations; American Statistical Association (1978, 79, 80, 81); ARC Conference 7/79; Federal Reserve Import List; Disaggregation Field Test; ICP/PPP Comparison Project; Deflator of U.S. Imports-Exports by BEA; TVA-Summaries, Correspondence and Notes - Tax on Value added; and UNCTAD Notes (UN Project, 1978). Some reference copies of project and committee papers are included.

The administrative files pertain to such matters as budget, computer costs, confidentiality of material, personnel administration, property accountability, records holding reports, printing, travel, utilization of staff time, and the like. Under both program and administrative subjects are filed a mixture of correspondence, reports, and reference materials. The file is arranged alphabetically by subject title, generally, in one continuous sequence.

Retention Period. Break file at least every five years and bring active material forward. Destroy when five years old or when no longer needed for current business, whichever is later.

8. Division Correspondence Files. Consists of two sets of copies of correspondence and other documents prepared in the Division to be signed by the Division Chief, Associate Commissioner or Commissioner.

Arranged by date. Official copies of communications signed at higher echelons are filed at those levels. Some copies of Division level communications are duplicated in the two sets, and copies of some are also filed in the Division Program and Administrative Subject Files.

Retention Period. Destroy when five years old.

\*9. Personnel Name Files. File consists of Division copies of personnel name files of current and former employees of the Division, containing such documents as copies of SF 52's, SF 50's, performance evaluations (appraisals), performance standards, training requests and authorizations, requests to

correct leave records, promotion recommendations, and the like. Official file is maintained at a higher echelon. Such records appear to be covered by the Privacy Act.

Retention Period. Destroy two years after transfer or separation of employee.

\*10. Time and Attendance Files. Consists of Division copies of time and attendance, leave and earnings, and related flexitime records pertaining to employees of the Division of International Prices. Official records are maintained in the central BLS Office of Administration. Such records appear to be covered by the Privacy Act. Destroy when three years old.

Retention Period. Destroy when three years old.

11. Statistical Methodology Reference File. Consists of reference copies of articles from publications discussing various statistical concepts and methodologies. Arranged by name of author, some of whom are members of the Bureau's staff.

Retention Period. Destroy when no longer needed for current business.

12. International Trade Statistical Publications Reference File. This file consists of copies of periodical statistical publications by statistical offices of various foreign governments concerning international trade. Printed in the issuing country's language, the collection includes publications from such nations as France, Japan, England, West Germany, Sweden, Italy, Belgium, and the Netherlands and publications of statistical offices of international organizations like the United Nations, the Organization for Economic Cooperation and Development, and the International Monetary Fund. Publications of some U.S. Government agencies are also included (e.g., Department of Commerce and Department of Agriculture).

The publications are used by the Division staff for research purposes.

Retention Period. Destroy when no longer needed for current business.

13. IPP Technical Memoranda. To obtain uniformity of survey operations involving three major headquarters offices and BLS Regional Offices, detailed survey policies and procedural instructions and specifications covering such technical matters as scope of surveys, contacts with prospective and participating

quality controls and the like, are developed by the Division of International Prices (DIP). The instructions are published as Technical Memoranda and supplements, issued to BLS Regional Offices by the Office of Field Operations after referral thereto of the drafts developed and coordinated by the DIP. Typically, DIP updates instructions as needed, including twice per year issuances - one to revise instructions for the survey of export prices and one for the survey of import prices. Related materials are also in other procedural manuals developed by the International Price Program Procedures Section within the Division of Industrial Prices and Industrial Relations of the Office of Survey Processing (see Item 39).

Retention Period.

- a. Record copy. Permanent. Offer to the Archives of the United States in blocks of five years when the most recent publication is twenty years old.
- b. Other copies. Destroy when no longer needed for current business.

14. Word Processing Media File. Diskettes used in preparation of documents such as correspondence and also textual or tabular material for reports, or other presentations such as papers for meetings, seminars, etc.

Retention Period. Scratch after all essential information has been analyzed, tabulated, or presented in document form.

15. Branch Chief Program Direction and Reference Files. The Division of International Prices is divided into three functional branches. The small program direction and reference files maintained by each Branch Chief varies, depending on the individual's management techniques and program requirements.

These small files are oriented primarily to house-keeping matters (e.g., correspondence reading files, individual travel, internal procedures, budget materials, personnel matters, and the like) and to program reference items. They include such materials as extra copies of correspondence, printout listings, field trip reports, copies of statistical tables prepared by other U.S. Government agencies, newsletters, newsclippings, internal procedures memos, and longhand notes.

Retention Period. Break file at least every five years and bring active material forward. Destroy when five years old or when no longer needed for current business, as appropriate.

16. U.S. Export and Import Price Indexes Press Release Record Copy. This file consists of record copies of press releases of the results of the International Price Program Surveys of U.S. Export and Import Prices. In addition to the index tables, the press releases contain summary analytical notes related to significant price index changes. While some issues are missing, this file represents the most complete set of published results of the surveys. The releases date from June 1971 to date.

Retention Period. Permanent. Offer to the Archives of the United States in blocks of fifteen years when the most recent publication is fifteen years old.

17. Other Press Release Copies Files. Extra copies of the quarterly press releases, that announce the results of the International Price Program surveys, are maintained for Division staff reference purposes and for distribution, on request, to the public and other Government offices.

Retention Period. Destroy when no longer needed for current business.

18. Division Copies of Monthly Labor Review Articles. Articles relating to the indexes of prices of United States imports and exports are normally published twice yearly in the Monthly Labor Review. This practice began in 1982. This file, maintained by an assigned economist who prepares the articles, consists of the Division's record copy of reprints of the articles (two copies per issue). While copies of the complete Monthly Labor Review issues are sent to the National Archives by the Government Printing Office, this file contains a compilation of such articles devoted solely to analyses of the U.S. import and export price indexes. A separate file is maintained of the quarterly press releases, but those issues contain less comprehensive explanation of the indexes and trends (see Item 16).

Retention Period. Destroy when no longer needed for current business.

19. Monthly Labor Review Articles Background Files. This file consists of copies of press releases, news clippings, industry analysts' notes, publications from other Government



agencies (such as the Department of Commerce, Department of Agriculture, and the International Trade Commission), data from international organizations (e.g., the International Monetary Fund and the Organization for Economic Cooperation and Development), data from BLS staff and the like. Such materials serve as reference and source material for preparing the twice yearly Monthly Labor Review articles.

Retention Period. Destroy when two years old or whenever all essential information has been compiled and issued, as appropriate.

20. Export and Import Price Indexes LABSTAT Files. An International Prices Program data base is maintained at the BLS central computer facilities (see Item 44). On a quarterly basis, this data base is accessed directly by the BLS Office of Technology and Operations to update the LABSTAT Export and Import Price Indexes files, which are comprised of upwards of 400 time series.

Export and import price indexes are available on a quarterly basis, beginning in June 1974 to date. For earlier years through 1973, index series for June of each year beginning in 1964 for exports and 1967 for imports are also available for varying numbers of products. The data are classified by the Standard International Trade Classification (SITC) (1974 - Revision 2) and within the SITC divisions contain: export price indexes, percentage changes in export price indexes, import price indexes, and percentage changes in import price indexes.

Additional data sets include the Bureau of Economic Analysis (BEA) price indexes of U.S. exports and imports which are sequenced by the BEA end-use product classification scheme. These files provide a research source for economists in deflating the Gross National Product. BEA indexes are compiled quarterly and date from 1977 to date; but not all product categories are covered in the early years.

System documentation consists of the LABSTAT Users' Guide, the LABSTAT Series Directory, and other related program guides as required.

Retention Period. Permanent. Offer for transfer to the National Archives of the United States when thirty years old, or upon termination of the program and cessation of active references, or at mutually agreed-upon time periods, as appropriate.

\*21. Export and Import Prices Company Files. Consist of case folders on upwards of 6,000 companies who report import and export data to BLS. Folders are included for companies who formerly reported data as well as companies which were contacted for possible inclusion in the reporting cycle sample but which were excluded and never became reporting sources.

Contents relate to the company's participation and include such documents as: correspondence; interview or contact form reports by BLS regional representatives; company information such as its annual or quarterly reports and products brochures; work sheets and longhand notes by Division staff; and the like.

In addition to the active folders, the file contains inactive (as regards reporting) company folders which are referenced in the process of developing changes to the survey sample.

Retention Period. Destroy five years after the company goes out-of-business.

\*22. DIPALL Machine Listing of Companies. Consists of machine printout listing data pertaining to all establishments (companies) which are reporting import or export price data to the Division, or have in the past, as well as establishments which have been visited for possible addition to the survey sample but were not added.

The list contains such data as the name and address of the companies, categories of products, and the status of the companies' participation in the survey. Arranged alphabetically by company name, it serves as quick cross-reference to the Export and Import Prices Company Files (Item 21) and is updated as needed, approximately quarterly.

Since the list identifies survey respondents, it is handled with confidentiality and access thereto is restricted.

Retention Period. Destroy when replaced by an updated listing, or when no longer needed for current business, as appropriate.

\*23. Exporter and Importer Samples Printout Listings. The Division of International Prices is involved in maintenance of the sample of companies who participate in the quarterly survey by reporting export and import price data.

Annually but separately, the sample of export prices reporters and the sample of import prices reporters are revised, as some reporting companies are removed from the sample and

others added and some changes made in the products reported on. To perform its sample maintenance functions, the Division receives such machine printouts as listings of companies to be considered for possible contact, lists of companies to be contacted by BLS Regional Offices for probable inclusion in the samples, and after the sample is developed, listings of companies included in the samples until the samples are revised.

Retention Period. Destroy when replaced or no longer needed for current business, as appropriate.

24. Quarterly Industry Analytical Notes Files. This file consists of copies of analyses prepared by Division industry analysts pertaining to price index changes in assigned industries by SITC groups/products. The analyses include data as to the price change (per cent, plus or minus) and analytical statements discussing the factors related to the changes. These analytical notes are referred to the Branch of Export and Import Price Indexes for use in preparing the quarterly press release of international price indexes. They also serve as background material for the annual Monthly Labor Review article.

Retention Period. Destroy when two years old or when no longer needed for current business, whichever occurs sooner.

25. U.S. Export and Import Price Indexes History Tables Printouts. This file consists of a copy (computer printout) of U.S. Export and Import Price Indexes tables arranged by year and Standard International Trade Classification (SITC) product structure from single-digit to four-digit levels. Index tables are provided from the year 1964 to date for exports and from 1967 to date for imports, although during the initial years only relatively few products were covered.

From year-to-year, products were added and full coverage of both imports and exports was achieved in 1984. The same data have been published by periods in Monthly Labor Review Articles (see Item 18) and, for the years 1975 to date, are published in the Annual BLS Handbook of Labor Statistics in the BLS Bulletin series. The same data are also maintained in the International Price Program data base (see Item 44). The tables are updated quarterly on a cumulative basis and the previous quarter's copies are destroyed.

Retention Period. Destroy when replaced by a subsequent updated printout listing.

\*26. Survey Control, Processing and Reference Machine Printouts. For the quarterly survey cycle, the Division receives

machine printout listings that serve as internal control and report development aids for members of the Division staff. These include such listings as: reporting companies for which no quarterly data have been received; nonreporting companies to which follow-up mailgrams have been sent; missing prices; reporting errors; office processing status reports; a reporter's comments log of cumulative data on past contacts with individual companies; error listings; concordance tables cross-referencing the product codes for the Standard International Trade Classification System as related to the Tariff Schedule of the United States Annotated for imports and the Bureau of the Census Schedule B for exports; and the like.

These documents are used for management control of the survey progress and for industry analyst/economist review and reference purposes in handling problems, contacting reporting/nonreporting companies, and developing measures of price changes. The listings are disposed of either after replacement by updated versions, by return to the Office of Survey Processing with instructions for data entry for processing, or after the quarterly cycle is complete.

Retention Period. Destroy when replaced by updated printout or when no longer needed for current business, whichever occurs sooner.

\*27. Quarterly Survey Data Final Printout Listings. The Division of International Prices receives machine printout listings that are used for managing the collection of data from reporting companies, for processing of that data, and for calculation of the price indexes for the IPP.

Most of these printouts are for survey control and processing (see Item 26). Some, however, are final tables reflecting the end results of quarterly data collection with respect to such matters as specific products, sources of data, and final index calculations. Examples are listings containing data reported by respondents (Product Information Listings), final index calculations (Final Production Index Calculations and Aggregates), cumulative records of reporting company comments when contacted (Reporter Comments Listing), and Reporter Address Listings. Hard copy listings are normally retained only for reference purposes during the following quarterly survey cycle and then destroyed. Microfiche copies are also retained for reference purposes for longer periods (see Item 28). The listings are treated with confidentiality as many either identify reporters or contain data that could lead to identification.

Retention Period. Destroy when replaced by updated listings or when no longer needed for current business, as appropriate.

\*28. Microfiche Files of International Prices Machine Printouts. Used primarily for reference purposes by the Division staff, these files consist of COM produced microfiche copies of machine printout listings which relate to the activities of the quarterly export and import price indexes cycles. The microfiche contain such materials as data reported by respondents, the final index run calculations, cumulative records of comments by reporter companies when contacted, reporter companies' addresses, product detail information, Bureau of Economic Analysis product classified export and import indexes, OPEC export indexes, and the like.

These data are also maintained in the International Price Program data base (Item 44), and the end results of the cycle -- the quarterly export and import price indexes -- are published in quarterly press releases and are available in LABSTAT. Most of these microfiche are considered as confidential as the identity of respondents can be determined.

Retention Period. Destroy when all essential information has been analyzed, tabulated, or published.

29. LABSTAT Segment on Comparisons of U.S., German, and Japanese Export Price Indexes. Time series indexes, annually from 1970-73, and quarterly from March 1974 to date, are maintained in LABSTAT providing international price comparisons for comparable categories of products exported from Germany, Japan, and the United States.

These indexes are based on (1) the official export price indexes for Germany and Japan, (2) specially constructed U.S. export price indexes of U.S. export products that are comparable to those of Germany and Japan, and (3) dollar per Deutsche mark and dollar per yen exchange rates.

The data, while on a quarterly basis, are updated at irregular intervals. Separate comparisons are made for U.S. and German products, and U.S. and Japanese products. At the time of this writing, comparisons were presented covering some seventy-one manufactured products.

These machine readable data, in effect, duplicate the coverage of the printed updates of the BLS Bulletin 2046, (1980) "Comparisons of United States, German, and Japanese Export Price Indexes."

At about four or five year intervals, the German and Japanese export price indexes are revised to reflect a more current base year, and other revisions are also made by those countries, which require revisions to these LABSTAT series comparisons.

Retention Period. Permanent. Offer for transfer to the Archives of the United States when thirty years old, or upon termination of the program and cessation of active reference, or at mutually agreed-upon time periods, as appropriate.

30. U.S., Germany, and Japan Comparative Export Index Documentation Book. The file consists of a three-ring binder containing the various computer programs, format and coding instructions, and other explanatory documentation materials covering the processing of the data required to produce these comparative German, Japanese, and U.S. export price indexes for specified manufactured products. (See previous LABSTAT Item 29.)

Retention Period. Permanent. Offer for transfer to the Archives of the United States when thirty years old, or upon termination of the program and cessation of active reference, or at mutually agreed-upon time periods, as appropriate.

31. International Price Bulletin and Research Publication Record Copy File. The file consists of the record copy of such publications of the International Price Program as Bulletin 2046, "Comparison of United States, German, and Japanese Export Price Indexes", (1980); Bulletin updates and revisions; and any published results of research products on international prices not included in the Monthly Labor Review.

Retention Period.

- a. Record Copy. Permanent. Offer for transfer to the Archives of the United States in blocks of fifteen years when the most recent record is fifteen years old.
- b. All other published copies. Destroy when no longer needed for current business.

\*32. German-Japanese-U.S. Export Price Comparison Index Data Base File. This disk file maintained at the Central Bureau Computer Facility is maintained under the TOTAL Data-Base Management System and other programs. The file covers the period 1970-date, and contains such data as: the German and Japanese export price index data for various products inputted quarterly from the official source publications issued by those countries; specially constructed U.S. export price indexes of U.S. export products comparable to those of Germany and Japan that are developed by inputting data from the Division's export price index data base and converting the data to be comparable to German and Japanese export price indexes; and the following five

index and percent change data for each export product covered -- (1) U.S. export price index in dollars, (2) German or Japanese export price index in national currencies, (3) German or Japanese price index in dollars, (4) Ratio of export price indexes in national currencies, and (5) Ratio of export price indexes in dollars. Also included are the various programs required to process the index data.

The data base is considered confidential, as the U.S. export product index data extracted from the Division's data base can contain information involving three or less U.S. companies. Prior to transmitting any index update data to LABSTAT, such confidential data are eliminated.

While the German and Japanese official export index data are entered quarterly, the updating of the entire index data is only accomplished at irregular intervals, and revisions are on a four-to-five year basis.

Once a month, a dump to one tape is made of the data base to provide back-up as needed. From 1970-1973 data are on an annual basis and from March 1974 to date data are on a quarterly basis.

Retention Period.

- a. Data base disk. Destroy when all essential data have been analyzed, tabulated, or published, as appropriate.
- b. Back-up tapes. Scratch after successful quarterly input of data has been accomplished.

\*33. Processing Files Relating to German-Japanese-U.S. Export Product Comparison Index. The files consist of various data sets on disk or tape at the Central Bureau computer center and printouts maintained at Division offices and other records reflecting such index processing operations as inputting data into the system, review and edit of processing operations, converting U.S. export index data to be comparable to German and Japanese indexes, calculating various ratios and comparisons used in the index, transmitting data to LABSTAT, distributing copies of published index results to recipients, and the like.

Retention Period. Destroy when revised or made obsolete, or when essential information has been analyzed, tabulated, or published, as appropriate.

34. German-Japanese-U.S. - Export Comparison Index Source and Related Reference Files. The file consists of monthly issues of the official German and Japanese Export Price Index

Publications as well as various articles, copies of documents, tables, publications on exports of various countries on international prices or trade or on statistical methodology. The source documents and many of the publications or articles in the reference files are in Japanese or German. Included in the background reference files is a subjective reference file of former employee, John Suomela, as well as background materials on system development and operation.

Retention Period. Destroy when revised or made obsolete, or when no longer needed for current business, as appropriate.

35. Special Project - Research Files on International Prices, Exports, Imports. On an irregular basis, various research or special projects are undertaken covering particular aspects of international trade, prices, exports, or imports. Included are background records such as clippings, articles, notes, drafts, publications, tabulations, and the like pertaining to oil prices and shipment of products to oil producing countries; background materials such as translations of Japanese newspaper articles and related records pertaining to an analysis of the relationship of the government of Japan to Japanese industry and Japanese trade practices; copies of data and background materials relating to furnishing information for the UN-OECD - World Bank Purchasing Power Parity Project; manual or machine listings of special tabulations prepared in response to requests; and other on-demand special analyses or tabulations as required.

Retention Period. Destroy when essential information has been analyzed or tabulated, except those projects that involve information covered by other items of this Schedule.

#### Records Common to All Division Offices

\*36. IPP Intermediate Printouts, Job Runs, Worksheets. In carrying out the IPP, economists or other program personnel obtain various intermediate printouts, job runs, or worksheets as part of the computer processing of the international price indexes issued by the Division. These machine-produced listings can involve such initiation or repricing operations in the index production cycle as developing and maintaining the sample registers of reporting companies and the related information on export or import products to be priced; collecting, analyzing, and tabulating the pricing data on a quarterly basis; calculating preliminary or final indexes; and issuing the final index data in press release or other formats. Also involved are listings



concerning answering of requests for information, special runs, runs involving developing the various computer systems involved or in improving the processing methodology, and the like. Such listings in this item are not covered by any other items of the IPP of the Schedule listed above.

Retention Period. Destroy when essential information has been analyzed, tabulated, or published, or when superseded or made obsolete, as appropriate.

37. IPP Technical Reference Working Files. These are extra copies, printed materials, working papers, copies of instructional manuals, and the like, which are maintained by the economists or other program personnel of the Division concerned with the IPP program covering their assigned areas of work as well as computerized operations and statistical procedures and methodology.

Retention Period. Destroy when superseded, no longer needed for current business, or when made obsolete, as appropriate.

38. IPP Intermediate Machine Processing Files. Consists of processing tape or disk files of the IPP program as defined by General Records Schedule 20, such as work files, test files, input source files, intermediate input/output files, valid transaction files, and the like covering machine readable records not specifically listed under the Schedule items above for the International Price Division. (See page 179 of this Schedule.)

Retention Period. Apply the retention periods of GRS 20-- Part II, Items 1 through 14, as applicable.

OFFICE OF SURVEY PROCESSING OFFICES  
CONCERNED WITH THE INTERNATIONAL PRICE PROGRAM (IPP)

IPP PROCEDURES SECTION, OSP

The IPP procedures staff works with other IPP offices to formulate and document standardized procedures for all activities relating to the IPP. Although the Section does not write all the procedural documents used in the IPP, it reviews all procedures to ensure that they are consistent and error-free.

User guides and written documentation of system methodology are essential because of the diffusion of the tasks involved in generating the import and export price indexes among such offices as: the Program Office (Division of International Prices (DIP)); the Data Services Section of OSP (DSS) which is responsible for activities relating to the processing of the indexes and the introduction of newly initiated products into the data base; the Systems Support Section of OSP (SSS) which is responsible for systems design and programming and data base management; the Statistical Methods Division of OPLC which is responsible for sampling and methodology; the Office of Field Operations which is responsible for scheduling Regional office activities, headquarters-regional relationships, and issuing all instructional issuances and supplies to Regional Offices; and the Regional Offices and the Regional Representatives which are responsible for finalizing samples and the initial pricing of products.

The manuals and written procedures of this Section provide the necessary uniform approaches to generating the IPP indexes as well as the written explanatory documentation of the systems and methodology involved. Through review of Regional Office suggestions for procedural revisions (Form SO-608), and through contacts with the various headquarters offices involved, the Section keeps abreast of necessary procedural changes in order to update manuals and procedures as required.

The Section also designs or participates in the design of forms for data collection, data entry, and data correction. In addition, if a form is designed for use outside the Bureau, the Section prepares the required clearance requests for approval by OMB. It also acts as liaison between DSS and the Office of Field Operations in maintaining a sufficient supply of forms.

39. International Price Program Procedure Manuals Record Copy File. The generation of the export and import price indexes involves both program and support offices in the National Office as well as Regional Offices. Various procedure manuals are

prepared to provide uniformity in the steps of the processing cycle for this diffused operation. The International Price Program Procedures Section within the Division of Industrial Prices and Industrial Relations, OSP, currently is responsible for preparation of the required procedures manuals for the IPP as well as for maintaining the record copy of the manuals.

The record copy of such procedure manuals is comprised of three segments: (1) the original manual as drafted, (2) various updates and revisions as required, and (3) the current version of a revised Manual. In addition to formal Manuals, on occasion, separate procedural memoranda are issued by the Section covering such matters as printing of schedules, quality assurance, and the like.

At the time of this writing, such manuals as the following were issued or were nearing completion: the IPP Collection Manual, the IPP Coding Manual, the "C" Form Manual involving instructional communications between OSP and DIP, the Sample Tracking System Manual, the Key Punch Manual, the Automated Regional Tracking System Manual, and others as required.

Manuals are arranged by title, with chronological updates. 1980-to date.

Retention Period.

- a. Record copy. Permanent. Offer for transfer to the Archives of the United States in five-year blocks when the latest issue is twenty years old.
- b. All other copies. Destroy when no longer needed for current business.

40. IPP Procedure Manuals Development Files. Consist of accumulated reference and background materials pertinent to the subject matter of a Manual being developed, chapter drafts, planning records, reviewers' comments and suggestions, revisions to original drafts, records pertaining to printing and distribution of a Manual, proposals for future revisions and suggestions, and periodic progress reports on the status of manual development such as PAC II Progress reports, and the like.

Retention Period. Destroy when superseded, or upon publication of a manual, as appropriate.

41. IPP Procedure Manuals Word Processing Media File.  
Consists of word processing disks involving the production of the various IPP Procedure Manuals and updates or revisions thereto.

Retention Period. Destroy when no longer needed for current business, or when revised or updated, as appropriate.

## IPP SYSTEMS SUPPORT SECTION (SSS)

The IPP Systems Support Section of OSP designs and maintains computer systems, subsystems, and programs which are necessary to process the data from which IPP indexes are produced. SSS maintains the IPP data bases, and provides DIP, DSS, and the Statistical Methodology Division (SMD) of the Office with data processing support. Such support involves the writing of computer programs to meet specific needs, advising on the use of computer systems in various applications, designing computer systems or subsystems meeting IPP requirements, training personnel in the use of CRT and other data processing equipment, and other consulting or programming services.

SSS develops the Job Control Language (JCL) required to process IPP computer programs on available data processing equipment, and also ensures the security of the IPP data bases by providing for disk-to-tape back-up at periodic intervals.

SSS works closely with the DIP program office and the Data Services Section (DSS) in establishing requirements for new programs or changes to existing programs for the IPP. Major developmental design projects are usually undertaken by task forces consisting of representatives of all offices concerned. The major role of the SSS representative is to assist in identifying requirements, to present alternative data processing approaches, and to create a requirements document describing the proposed system. SSS personnel also provide detailed explanatory "walk-throughs" of proposed systems to the various users as well as written systems descriptive documentation.

42. Branch Chief Administrative-Program Subject File. This file of the Branch Chief for Survey Systems Support for the International Price Program consists of correspondence, published materials, machine listings, form records, extra copies of administrative instructions and materials, project records, and the like, pertaining to the internal housekeeping activities of the Survey Systems Branch, such as personnel, travel, time and attendance, and progress reporting. In addition, the file contains records on International Price Program system development and system revision projects undertaken by the Branch. These files can include such records as various machine listings, system requirements statements, flow charts, data dictionaries, program listings, job control language for running the programs, and the like.

Certain projects may result in development of new computerized subsystems for the International Price Program or revisions to existing systems, while other projects may be dropped or closed out without significant changes being made.

The file includes such folder headings as Personnel, Travel, Computer Costs, Progress Reports, Repricing Study, OCR Study, Quality Control, Data Base Requirements, and Schedule Redesign. The Bureau record copy on administrative matters is maintained by the Central Bureau Administrative Offices.

Retention Period.

- a. Administrative File Segment. Break file every three years, and bring forward active materials to the new file. Destroy when three years old.
- b. Project File Segment. Separate into active and inactive project files. (1) If the completed project has resulted in system initiation or revision, destroy completed projects after the system involved is no longer being used. (2) If the project is dropped or results in no significant system changes, destroy the inactive project files three years after cessation of work.

\*43. IPP-Sample Tracking System Data Base File. The Sample Tracking System data base consists at present of some 350 tracks on the same disk as the IPP production data base at the central Bureau computer facility. The purpose of the newly installed Sample Tracking System is to assure the quality of the various product samples involved in generating the import and export price indexes by measuring the response rates per products or reporting establishments. This sample monitoring system informs the Statistical Methods Division when the sample for certain product groups has degenerated far enough to affect statistical quality and will require the drawing of a new sample.

The data base contains all the sample information on groupings of products and establishments for building of samples sent to the Regions, and it keeps track of the response rate per product group or reporting establishments to determine such matters as the statistical quality resulting, or when establishments drop out or products are discontinued, and the like.

A daily dump of the entire disk contents to tape is made for security or back-up purposes. Since individual establishment data are involved, the file is considered confidential. The data base is maintained under the RAMIS data base management system.

Retention Period.

- a. Disk data base file. Scratch when essential information has been superseded, or when such information has been tabulated or analyzed, as appropriate.
- b. Tape back-up files. Scratch when two weeks old.

\*44. Export-Import Price Indexes Production Data Base Files. The export-import price indexes production data base files contain the various data sets required to generate the quarterly U.S. import and export price indexes and related special international price indexes. The data base files comprise some 4200 tracks of a private disk pack at the central Bureau computer facility, and is maintained under the TOTAL data base management system. For security or back-up purposes, the contents of the data base are dumped daily onto a tape or periodically into mass storage.

This disk data base consists at present of three master files and twelve variable files. Master files contain the keys or constants which are used to access data stored in the associated variable files. The master files also contain the physical location on the disk of the first and last record containing the master file key on each variable file. Variable files contain quarterly price data, price adjustment data (duty, units of sale, discounts, etc.), and product description data.

There are four variable files, such as the final net price file or the specifications file, associated with the "old" master file; six variable files, such as the export or import price files and the export or import price adjustment files, associated with the product or "new" master file; and two variable files, such as the currency file and the alias file, associated with the Schedule "C" master file.

In effect, this data base contains the information on export and import product prices necessary to calculate the various indexes and data produced by the International Price Program. These include the quarterly Press Release, "U.S. Export and Import Price Indexes" and the special import and export price indexes published at irregular intervals or transmitted by letter to various governmental agencies, as well as the various import and export price indexes included in LABSTAT (see item 20).

The data base is considered confidential as it contains data that could identify individual reporting establishments.

Retention Period.

- a. Disk data base files. Scratch when all essential information has been tabulated or analyzed, or when superseded.
- b. Tape back-up files. Scratch when two weeks old.
- c. Mass storage back-up files. Scratch as superseded.

\*45. Other IPP Data Bases Involved in Improving the Import and Export Price Indexes Program. The managers of the International Price Program are constantly seeking new approaches to improve the Program. Typically, these concern development of various monitoring or other computerized systems involved in the IPP, such as the Sample Tracking System (see previous Item 43). One such computerized monitoring system, the Automated Regional Tracking System (ARTS), involving the maintenance of a data base, is being developed at the time of this writing.

This developmental data base presently occupies some 800 tracks on a disk at the Bureau central computer facility, and is maintained under the MANTIS data base management system.

The ARTS system is primarily a Regional Office workload measurement system, and its data base will contain the reported data from Regional Representatives on their activities in developing samples and in collecting export and import product pricing data from sampled establishments. When completed, the system will provide for on-line progress reporting on the status of the IPP activities of Regional Office personnel as well as serve as a tool for improved scheduling of such activities.

As with other data bases, the ARTS system involves periodic disk data-base back-up to tape for security purposes.

As required, other IPP improvement projects of this type could be undertaken in the future, and could involve the maintenance of a disk data base and periodic disk-to-tape or to mass storage back-up.

Retention Period. Scratch when no longer needed for current business.

\*46. Microfiche Files of International Prices Machine Printouts File. File consists of a set of COM-produced microfiche copies of various of the machine printout listings which relate to the processing cycles for generating export and import price indexes. The microfiche covers such matters as current final index calculations, product information by groups



of products, product detail, reporter comments, sample data, and the like.

The file is basically a reference file in convenient-to-use format. (See Item 28.) The file is considered confidential, as data can identify individual reporting establishments.

Retention Period. Destroy when all essential information has been analyzed, tabulated, or published.

47. IPP Computer Program Disk Files and Printout Library Files. The file consists of a segment of the private disk at the central Bureau Computer Facility containing the many source or other programs involved in generating the quarterly import and export price indexes and the other special import and export price indexes. Daily disk-to-tape back-ups of the disk are carried out for security purposes.

Also included at the headquarters office are hanging binders containing machine printouts serving as a program library documenting the machine-readable program disk files.

Retention Period. Destroy when superseded, or when no longer needed for current business, as appropriate.

48. IPP Data Dictionary File. Data dictionaries serve as the principal end product for documenting the IPP system design work of the Branch. There are two types of these computer-prepared listings, logical and physical data dictionaries. The logical data dictionaries provide in a summary fashion and in layman's language an explanation of the steps involved in a proposed system. They are primarily used to explain to DIP personnel and other requesters what a proposed system will entail. The physical data dictionaries provide detailed specifics as to the various steps involved in a proposed system and are more of an internal development tool used by the designers to understand the system and to identify the various computer programs to be developed to implement a proposed system.

This record copy file consists presently of listing sheet binders on shelving, arranged by title of the systems covered. Certain binders can include flow charts or precedent design statements reflecting the scheduling of the work involved in the system design efforts undertaken by the IPP systems support staff.

Retention Period. Permanent. Offer for transfer to the Archives of the United States in blocks of ten years when the most recent record is twenty years old.

49. IPP System Problem-Solution Files. When users of IPP systems, such as DIP program office personnel or DSS personnel, are faced with problems during production runs, they request assistance using problem statement forms which are sent to the IPP systems support staff. These requests are logged in and a Form 588 is prepared by the assigned staff member describing the work involved in developing a solution to the system problem. The file is maintained in three-ring binders.

Retention Period. Destroy when five years old.

\*50. IPP System Data Management Files. The IPP systems support staff receives periodically computer listing sheets from the central Bureau Computer Facility on the amount of computer storage space the various data sets of the staff occupy as well as on the status of the data sets. These listing sheets are maintained in binders and include such listings as those of the IPP data sets maintained in the mass storage facility, the data sets maintained on the disk, the data sets migrated to tape storage, the data sets scratched, and the like.

The regulations of the central computer facility require the migration of data sets from the disk to storage 45 days after no referrals are made to such data sets. Typically, data sets migrated to tape storage are scratched about 18 months after no referrals are made to them, while longer storage without referrals is permitted for data sets stored on the mass storage equipment.

In addition to such inventory listings on the status of IPP data sets, the data management files include binders of listing sheets documenting the TOTAL data base management system applied to the IPP Production Data Base Files as well as listing sheets reflecting the placement of data on the disk. The latter files are used in attempting to have the most effective possible use of available disk tracks in managing the data bases.

Retention Period.

- a. Periodic data set status files. Destroy when two years old.
- b. Total Data Base Management Documentation. Destroy when superseded, or when system is no longer used.
- c. Periodic listings of disk space utilization. Destroy when two years old.

## IPP DATA SERVICES SECTION (DSS)

The Data Services Section (DSS) is responsible for activities relating to the processing of the quarterly IPP indexes and the introduction of new companies, new reporters, or new products into the IPP production data base.

Prior to the beginning of each quarter, DSS prepares a detailed schedule of processing activities for the quarter, and circulates it among the other offices concerned for review and possible revisions. In conjunction with the Program Office (DIP) during the quarter, DSS assists in establishing specific deadlines and assuring adherence to the approved schedule. It also works with the Planning and Procedures staff in ensuring that the supplies of processing forms are adequate.

DSS prepares and mails out repricing schedules and maintains logs covering the mailout and reporter response, as well as maintaining other processing logs as required. The Section also performs a clerical review of all repricing and initiation schedules and codes data which must be keypunched or entered into the data base. It corrects errors entered into the data base and makes changes in the data base initiated by the Program Office.

DSS also plays an important role in introducing new companies, new reporters, or new products into the production data base by recording the initiation form data into appropriate logs; entering and coding the initiation forms; entering the product descriptions, address data and price data into the production data base; and entering into the Sample Tracking System data base the reports of establishment contacts by regional representatives.

DSS also works closely with SSS and the Program Office in identifying and resolving problems which arise during the quarterly processing of indexes, and in assuring that the data bases are maintained in a correct and current state.

DSS is divided into four organizational subunits. These include: (1) a new company and special projects unit which processes the initiation of new companies and new products into the production data base (mapping), as well as entering the establishment contact reports into the Sample Tracking System data base; (2) and (3) an import and an export unit which mail out and process their respective repricing schedules and code and enter such schedule data into the production data base; and (4) a computer technicians staff which controls the final entry of data into the production data base, edits and reviews inputted data, distributes machine printouts, and maintains liaison with SSS in resolving processing problems.

51. IPP-DSS Section Head Administrative File. The file consists of the Section copy of such personnel records as forms and related records concerned with employment status, employee training, and employee evaluation as well as the Section copy of employee time cards, flexitime logs, and related records.

Retention Period.

- a. Personnel Records. Destroy one year after separation or transfer of employee.
- b. Flexitime and Time and Attendance Records. Destroy when three years old.

52. IPP Current Quarter Selected Printout Listing Sheets. The Section Head maintains copies of selected current quarter machine run listing sheets on certain aspects of the IPP quarterly production cycle in which she has an interest such as key punch log listings, listings of missing prices, final index run listings, and the like. Also included are listing sheets from various runs in which problems occurred.

Retention Period.

- a. Selected current quarterly listings. Destroy when superseded by next quarter's listing.
- b. Problem run listings. Destroy upon satisfactory solution of the problem involved.

\*53. New Company Price Initiation File. File consists of "D" forms and product initiation schedules reported by new companies, and, as required, product specification sheets or copies of company address sheets. The file comprises primarily source input documents from which DSS inputs the reported information into the production data base, via terminals, or on segments of initiation schedules, via keypunching. Arranged by company number.

Retention Period. Destroy when two years old.

\*54. Establishment Contact Report Files. The file consists of reports of contacts by Regional Representatives, filed by the particular quarterly sample symbols and by schedule number thereunder, involved in visiting new establishments in a sample. These reports are involved in monitoring activities of the Regions in sample development work, and are presently entered by the unit into the Sample Tracking System Data Base.

Retention Period. Destroy when two years old.

\*55. IPP Data Base Change Source Document Files. The file consists of various forms, such as "G" forms or "H" forms and the like received from DIP requesting address change, or name or number or other changes in the data base, to be entered by the unit.

Retention Period. Destroy when two years old.

\*56. IPP Initiation Printout-Listing Sheet Files. These printouts, maintained by the various personnel of the Unit or by the Unit head, reflect the various computer runs undertaken by the Unit in initiating new companies. These operational printouts reflect inputting data into the data base and include such listing sheets as: quarterly mapping printouts, listings of initiation runs, listings of Establishment Contact Reports, quarterly address listing of all companies in the data base, daily listing of new products or establishments mapped into data base, listings of additions or changes to the data base, daily listing of initiation "D" forms entered into the data base, and the like.

Retention Period.

- a. Listings of Initiation "D" forms and of Quarterly Mapping Printouts. Destroy five weeks after close of applicable quarter.
- b. Other Listings. Destroy when superseded or when no longer needed for current business, as applicable.

\*57. IPP Initiation Change-Control Binders. These binders contain computer-produced forms for summarizing or controlling various activities of the Unit involving changes to the data base or internal control use such as: company merge files, unit of sale change files, change of industry analyst files, analyst data set control file, new product mapping file, transmittal log file, establishment contact report monitor file, and the like.

Retention Period. Destroy when superseded or when no longer needed for current business, as applicable. None need be filed in storage.

\*58. IPP Initiation Printouts of Batch Runs-Change Updates File. Printouts maintained in folders reflecting individual batch runs in inputting data or change update actions.

Retention Period. Destroy at end of quarterly cycle.

\*59. IPP Export-Import Repricing Schedules Files. After the keying of the information on repricing schedules received from reporters for input into machine readable files, the schedules are filed by company/reporter number, together with related records.

Retention Period. Destroy when two years old.

\*60. IPP New Product Initiation Schedules. After the new product initiation schedules are mapped by the New Company Unit, they are filed by company reporter number in the Export and Import Unit files, together with related records as appropriate.

Retention Period. Destroy when two years old.

\*61. IPP Export-Import Coding "D" Forms Files. The DIP sends certain instructions regarding inputting of data regarding the initiation process on 588 D forms, and the DSS New Company Unit completes the coding of the information on the form and enters the data into the data base. The forms then are filed in the Export or Import Unit files if they involve new products of old companies or new reporters of such companies, and are arranged by company/reporter number.

Retention Period. Destroy when two years old.

\*62. IPP Export-Import Coding "C" Forms Files. The 588 "C" form is used in communications between DIP and DSS to request DSS to make some type of change or to take action on some initiation or repricing matter. The DSS uses the form to transmit schedules to DIP which could not pass the clerical review because of some problems, and which require action by DIP analysts. Filed by company/reporter number.

Retention Period: Destroy when two years old.

63. IPP Export-Import Repricing Schedule Logs. Consist of log sheets, such as (1) the daily file update log, recording the receipt and status of Repricing Schedules received from reporters used as a source document for preparation of printout on repricing schedules. (2) The schedule control log reflecting mail-out and receipt of repricing schedules. (3) The daily transmittal log of problem schedules and transmittal between DSS and DIP. (4) Such other control logs as are required.

Retention Period.

- a. Reporter file update log. Destroy after two processing cycles, or whenever no longer needed for current business, whichever is sooner.
- b. Schedule control log. Destroy when one year old or whenever no longer needed for current business, whichever is sooner.
- c. Transmittal log. Destroy after one processing cycle or when no longer needed for current business, whichever is sooner.
- d. Other internal control logs. Destroy when no longer needed for current business.

\*64. IPP Repricing Schedule Control-Summary Printouts. Consist of various machine printouts received for internal control, review or edit, or for summarization or calculation purposes such as: (1) new reporter address listings, (2) batch run and change update listings, (3) daily all-reporter repricing schedule printouts, (4) daily product keypunch control printouts, (5) missing price locator listings, (6) production index calculation printouts, and (7) non response listings for mailgrams, and such other printouts as are required for these purposes.

Retention Period.

- a. New reporter address listings. Destroy when superseded or revised.
- b. Batch run change update listings, all reporter repricing schedule printouts, daily product keypunch control listing, missing price locator listings, non-response listings. Destroy after one production cycle or whenever no longer needed for current business, whichever is sooner.
- c. Production Index Calculation Printouts. Destroy when one year old or when no longer needed for current business, whichever is sooner.
- d. Other control, edit, calculation, or summary listings. Destroy when no longer needed for current business.

65. IPP Internal Work Load Summary Records. Consist of various summary records such as job assignment sheets or weekly work load schedule report summaries and the like used in assigning work or monitoring employee production.

Retention Period. Destroy when no longer needed for current business.

\*66. IPP Microfiche Reference Copies. Microfiche reference copies of various of the printouts involved in the IPP program maintained by the units.

Retention Period. Destroy when one year old.

67. Computer Technicians Staff Control Logs. Consist of such internal manual control logs as: (1) preprocessing batch control logs (for data base update entry runs); (2) update data sets log (for data base update entry runs); (3) requests for computer services or reports of computer problems; (4) IPP quarterly processing schedule actions; and (5) other internal control logs as are required.

Retention Period. Destroy when no longer needed for current business.

\*68. IPP Data Punched Cards. Consist of punched cards reflecting data collected during the latest completed IPP quarterly survey cycle, punched from such source documents as repricing schedules, initiation schedules, and coding forms. They have been used for inputting data to update the International Prices Program (IPP) computer data base. Cards are considered confidential as their contents identify reporting companies.

Retention Period. Destroy after verification of successful entry of data or when no longer needed for current business, as appropriate. (GRS 20, Part II, Item 3.)

\*69. IPP Repricing Schedules Mailing Magnetic Tapes. The IPP solicits and receives most quarterly repricing data used in the survey by mail. The BLS central computer facility generates magnetic tapes which contain mailing data produced from the IPP data base. The tapes are used to print self-addressed, turn-around schedules which the Data Services Section mails direct to the reporting companies. Some forms are also sent to the Division of International Prices and some to Regional Offices for contact with reporting companies. During the next quarterly survey cycle, the tapes are returned to the BLS central computer



facility where that quarter's mailing data are written on them, over the previous quarter's data. The data on the tapes are also in the IPP data base.

During the quarterly cycle, similar magnetic tapes are produced for reporting companies who have not mailed back the schedules. These tapes are used to print follow-up mailgrams to those non-responding companies.

The tapes are considered confidential as they contain data that identify reporting companies.

Retention Period. Write over tapes after each quarterly cycle. (GRS 20, Part II, Item 1.)

\*70. Microfiche Reference Copies of IPP Machine Listings. The Computer Technicians Staff receives computer output microfiche copies of selected machine listings related to the International Prices Program (IPP). These printout listings provide information for survey control and processing of survey data. They include such listings as: data reported by respondents, final index run calculations, reporter companies' addresses, Bureau of Economic Analysis product classified export and import indexes, OPEC export indexes and the like.

These data are also maintained in the IPP production data base files, (Item 44), and the end results of the survey cycle are published in the quarterly press releases and are available in LABSTAT.

These microfiche are used by the Data Services Section personnel for answering BLS questions and other internal data processing reference purposes.

Retention Period. Destroy when no longer needed for current business.

**RECORDS COMMON TO ALL OSP OFFICES INVOLVED**  
**WITH THE INTERNATIONAL PRICE PROGRAM**

71. IPP Intermediate Printouts, Job Runs, Worksheets. In carrying out the IPP, program personnel obtain various intermediate printouts, job runs, or worksheets as part of the computer processing of the international price indexes. These machine-produced listings can involve such initiation or repricing operations in the index production cycle as developing and maintaining the sample registers of reporting companies and the related information on export or import products to be priced; collecting, analyzing and tabulating the pricing data on a quarterly basis, calculating preliminary or final indexes; and issuing the final index data in press release or other formats. Also involved are listings concerning answering of requests for information, special runs, runs involving developing the various computer systems involved or in improving the processing methodology, and the like. Such listings in this item are not covered by any other items of the IPP of the Schedule listed above.

Retention Period. Destroy when essential information has been analyzed, tabulated, or published, or when superseded or obsoleted, as appropriate.

72. IPP Technical Reference/Working Files. These are extra copies, printed materials, working papers, copies of instructional manuals, and the like maintained by the economists or other program personnel of the OSP offices concerned with the IPP program, covering their assigned areas of work as well as computerized operations and statistical procedures and methodology.

Retention Period. Destroy when superseded, obsoleted, or no longer needed for current business, as appropriate.

73. IPP Machine Processing Files. Consist of processing tape or disk files of the IPP program as defined by General Records Schedule 20, such as work files, test files, input source files, intermediate input/output files, valid transaction files, and the like covering machine readable records not specifically listed under the Schedule items above for the OSP offices concerned with the IPP. (See page 179 of this Schedule.)

Retention Period. Apply the retention periods of GRS 20, Part II, Items 1 through 14, as applicable.

**STATISTICAL METHODS DIVISION**  
**IPP BRANCH**

The IPP Branch is responsible for the statistical support of the International Price Program, including sample design and maintenance, variance estimation, and quality control. Under present procedures, some 6000 reporting establishments involving some 14,500 products exported from or imported into the United States are included in the indexes.

In order to maintain the required statistical quality for the quarterly production of the IPP indexes, each year an export and an import sample are drawn, and an appropriate number of reporting establishments and products are included in the samples. Under present procedures, it takes about four years to cover all the many products included in the indexes. Research is underway, however, to provide for across-the-board sampling of all exported or imported products in the annual samples.

Under present procedures, the IPP Branch receives tapes from the Bureau of Customs twice a year and from the Census Bureau four times a year documenting transactions involving the importing of products into the U.S. or the exporting of products from the U.S. These transaction tapes serve as the source documents of the Branch in developing sample frames from which it selects, in cooperation with the Division of International Prices, the reporting establishments and the grouping of products to be included in the annual export sample and the annual import sample. In addition, the Branch receives concordance tapes from the Census Bureau providing cross references to the various product classification schemes involved in the process.

While there are many detailed intermediate steps in the cycle covering the production of an annual export sample or an annual import sample after the determination of the sample specifications and the receipt of the transaction source tapes, the following appear to be major phases in the process:

- (1) Copying and manipulating the raw data received to produce export or import sample frames which provide data which are retrievable by the reporting establishments or the grouping of products involved, as well as other data such as the sample strata;
- (2) Providing for uniform classification of products using concordances;
- (3) Aggregating the data to develop the dollar value of the products involved to provide sample weights in product selection;
- (4) Selecting from the sample frame the reporting establishments and the grouping of products within the establishments of the sample; and
- (5) Transmitting the final annual probability export sample and import sample to Regional Offices through the Office of Field Operations for the final selection of products and the collection of price data on those products of selected reporting establishments.

In addition, in order to monitor the application of the sample, pertinent data on the selected establishments and products are entered into the Sample Tracking System.

The inputting and manipulation of the data sets in the sampling process is primarily disk oriented. Magnetic tapes are used, however, as the medium for storage of the various files involved. In order to monitor the detailed steps involved in the drawing of annual export or import samples, the Branch receives from the Central Bureau computer facility many voluminous machine printouts reflecting the status of the sample production throughout the entire cycle of the process. In addition, printouts and other files are generated in carrying out variance estimation, sample development and revision, quality control, or other statistical activities.

\*74. Current IPP Branch Program Subject File. The Branch program subject file, consisting of correspondence and related documents, is maintained under an automated indexing system with the capability of finding records by subject, date, names of persons or organizations, and, if required, by author's stated purge date for each document. The file contains such non-confidential documents, arranged basically chronologically by alpha-numeric symbols, as internal management Division memorandums, progress reports, sample design memorandums, reports written by staff members covering sample system development or revisions, correspondence from outside the Division, and the like. It covers sample development and maintenance activities, as well as other statistical operations such as quality control, estimation, and the like.

As required, letter-size computer printouts are generated providing finding aids to the file providing access by subjects, author, receiver of the document, other names included in a document, date of preparation, and by name of sender. While no printouts have yet been generated, listings indicating the author's proposed purge date can be issued for each document of the file.

The automated file was established in 1981, and the automated index and programs for operating the system are maintained on a disk at the central computer center, with automatic twice a week tape back up.

#### Retention Period.

- a. Hard Copy. Destroy when indicated by document purge date or when no longer needed for current business, whichever is sooner.

- b. Machine readable records. Scratch when updated or when no longer needed for current business, as appropriate.

75. IPP Branch Correspondence Chronological File. Consists of yellow official copies of correspondence prepared in the Branch, and occasional related incoming documents, filed by date.

Retention Period. Destroy when seven years old.

\*76. IPP Branch Administrative Subject File. The file consists of such documents as: (1) 1979-1980 machine printouts reflecting various reports received from the central BLS management information system covering staff utilization by assigned projects; (2) bi-weekly flexitime logs for Branch staff members; (3) copies of personnel action forms and evaluation forms for Branch personnel, maintained by name of employee and related administrative records as required. The personnel name files are covered by the Privacy Act.

Retention Period.

- a. Staff Utilization Reports, flexitime time and attendance records, and related administrative records. Destroy when three years old.
- b. Branch personnel name files. Destroy one year after separation of employee.

\*77. Inactive IPP Branch Program Subject Files. The file consists of two segments; one arranged by a 10-digit numeric code number and the other by alphabetic subject headings, covering sample development and application activities as well as estimation and quality control. It covers the detailed statistical approaches in preparing and applying periodic samples and statistical methodology in collecting export and import product price statistics from reporting establishments.

The file contains worksheets, notes, handwritten drafts, manual handwritten tabulations, copies of correspondence, copies of technical memoranda, and the like involved in the IPP sampling program.

The implementing instructions for sample collection are published in the IPP Technical Memoranda series issued to BLS Regional Offices through the Office of Field Operations. (See Item 13.)

Retention Period. Destroy when seven years old or when no longer needed for current business, whichever is sooner.

\*78. IPP Sample Frame Tapes. From the Bureau of the Census and the Customs Service, BLS receives computer tapes containing U.S. export and import transactions data, respectively, for a given year. The IPP export and import samples are drawn by the Statistical Methods Division from data on these tapes. Duplicate tapes are produced and BLS exporter and importer numbers as well as other data added for processing in development of the samples. Original tapes are normally returned to Customs or Census or scratched.

Retention Period.

- a. Original tapes. After transfer of data to BLS tapes, return to source or scratch, as appropriate.
- b. BLS tapes. Scratch when ten years old or when essential information has been tabulated, analyzed, or published, whichever occurs first.

79. Census Export and Import Concordance Tapes. Export and Import Tapes (Item 78) received from the Bureau of the Census and the Customs Service identify products by Department of Commerce Schedule B or Tariff Schedules of the United States Annotated product classification codes. Census also provides BLS, annually, concordance computer tapes which are used to match and assign SITC (Standard International Trade Classification) product numbers to the export and import transactions. The IPP published data are classified by SITC.

Retention Period. Scratch when ten years old, or when essential information has been tabulated, analyzed or published, whichever occurs sooner.

\*80. IPP Aggregate Dollar Value Weight Tape Files. After the BLS IPP Sample Frame Tapes (Item 78) are produced, subsequent computer runs produce tapes which group transactions by company. Total dollar trade figures are computed for each company for its products. These figures are used for assigning a measure of trade size (weights) to each company and its products.

Retention Period. Destroy when ten years old or when all essential information has been tabulated, analyzed, or published, whichever occurs first.

\*81. IPP Final Sample Tape Files. Consist of computer tapes used to print out the Regional Office Assignment Listings sent to each BLS Regional Office for each export and each import

sample. Comprising the probability samples, these identify each establishment (with related product data) that the Regional Office is to contact for possible inclusion in the IPP surveys. The tapes are also copied to the Sample Tracking System disk data base files (Item 43).

Retention Period. Scratch when ten years old or when essential information has been tabulated, analyzed, or published, whichever is sooner.

82. IPP Sampling System Computer Program Disk Files and Related Documentation. Computer programs for inputting, processing, and manipulating data to develop the export and import samples are maintained on disk at the BLS central computer facility. These program files include source programs, load modules, job control language, sort programs, and the like. When a sample development cycle is completed, these program files are copied to tape. Hard copy printout listings are also maintained.

Retention Period. Destroy when superseded or when no longer needed for current business, as applicable.

\*83. IPP Sampling System Machine Printout Listings. Machine listings are produced for such purposes as: analyzing and manipulating secondary source data from other agencies; evaluating suitability of including particular companies and products in the probability sample; assigning weighting factors; and providing preliminary and final Regional Office Listings.

These include such printouts as: (1) Concordance Listings; (2) Tariff of the United States Annotated Check Listings; (3) First Stage Sample Reports (summary data of the number of establishments tentatively selected and numbers of products in which companies have traded); (4) Establishments Name and Address Listings; (5) Program Office Review Listings (proposed reporting establishments with related product data for review by the program office); (6) Second Stage Sample Reports (similar to List (3), adjusted as the result of (4) and (5) and Statistical Methods Division staff review); (7) Regional Office Listings (assignment of potential reporting establishments with related product data); and the like.

Intermediate listings not named above are covered by Item 84.

Many listings identify companies that participate in the IPP surveys and, therefore, are confidential.

Retention Period.

- a. Except for Listings (5) and (7). Destroy when ten years old or when no longer needed for current business, whichever occurs sooner.
- b. Listings (5) and (7). Destroy when two years old.

\*84. IPP Intermediate Printouts, Job Runs, Worksheets. In carrying out the sampling activities for the IPP, the statisticians and other program personnel obtain various intermediate printouts, job runs, or worksheets as part of the computer processing involved in their work.

These machine-produced printouts or listings can involve: preliminary listings leading to the final export or import sampling frames, intermediate runs involving the cross-referencing of the various product classification systems concerned, preliminary runs concerning the aggregation of data to develop the dollar value of products for weighting purposes. Intermediate listings relating to the final selection of reporting establishments and product groupings within reporting establishments, and the like.

Also involved are intermediate listings concerning the development of improved sampling procedures, the monitoring of the application of annual export or import samples, listings concerning index estimation, variance estimation, quality control, and other statistical activities. Such listings in this item are not covered by the other items of this Schedule for the IPP Branch.

Retention Period. Destroy when essential information has been analyzed, tabulated, or published; or when superseded or obsoleted, as appropriate.

85. IPP Technical Reference-Working Files. These are extra copies, printed materials, working papers, copies of instructional manuals, and the like maintained by the statisticians and other program personnel of the IPP Branch covering their assigned areas of work as well as computerized operations and statistical procedures and sampling methodology.

Retention Period. Destroy when superseded, obsoleted, or no longer needed for current business, as appropriate.



\*86. IPP Sampling Intermediate Machine Processing Files. Consist of intermediate processing tape or disk files pertaining to the development or maintenance of IPP samples, as defined by General Records Schedule 20, such as work files, test files, input source files, intermediate input/output files, valid transaction files, and the like covering machine-readable records not specifically listed under the other schedule items for the IPP Branch. (See page 179 of this Records Schedule.)

Retention Period. Apply the retention periods of GRS 20, Part II, Items 1 through 14, as applicable.

**DIVISION OF INDUSTRIAL PRICES AND PRICE INDEXES**  
**OFFICE OF PRICES AND LIVING CONDITIONS**  
**BUREAU OF LABOR STATISTICS**

a. Mission. To direct studies of producer and industrial prices and the development of producer price indexes.

b. Functions.

(1) Conducts analysis and research in the measurement, interpretation, and reportings of prices and price trends at the industrial or primary market level.

(2) Develops industry price indexes and related wholesale price data principally disseminated in published format as the Producer Prices and Price Indexes. Certifies the compilation of such data and validates it for release.

(3) Develops new improved measures of industrial price change, designs; directs and interprets surveys to estimate these measures.

**OFFICE OF THE ASSISTANT COMMISSIONER**  
**DIVISION OF INDUSTRIAL PRICES AND PRICE INDEXES**  
**OFFICE OF PRICES AND LIVING CONDITIONS**

87. Division Administrative Subject Files. Administrative files of the Division comprising correspondence, reports, forms, and related materials arranged by subject, containing office copies on such administrative matters as savings bonds, fund campaigns, personnel, orientation and training, local transportation, space, safety, cost reduction, equipment requisitions and services, BLS progress reports, committees, and similar housekeeping subjects of interest to the Division.

Retention Period. Break file every five years. Bring active materials forward. Destroy when five years old.

88. Division Correspondence Files. Extra copies of correspondence prepared in the Division, arranged by date. Includes copies of communications for signature of such officials as the Commissioner, the Associate Commissioner, and the Assistant Commissioner.

Retention Period. Destroy when five years old, or when no longer required for current business, whichever is later.

\*89. Division Personnel Name Files. Consist of copies of personnel name files of current and former employees of the Division, containing such documents as copies of requests for personnel action, notifications of personnel actions, performance standards and evaluations, correspondence pertaining to leave, employee address form, and the like. When an employee leaves the Division, retained time and attendance records (Item 90) are transferred to the individual's Name Personnel File. Official files are maintained at a higher echelon. Such records are covered by the Privacy Act.

Retention Period. Destroy one year after transfer or separation of employee.

\*90. Division Time and Attendance Files. Copies of bi-weekly time and attendance records, including flexitime control records, of Division employees arranged by date. When an employee leaves the Division, the individual's time and attendance records are transferred to the Division Personnel Name File (Item 89).

Retention Period. Destroy when three years old.

91. Division Travel Files. Consist of retained Division copies of such documents as travel authorizations, reimbursement vouchers, and related correspondence. Official files are maintained at a higher echelon.

Retention Period. Destroy when three years old, or when no longer needed for current business, whichever occurs sooner.

92. Word Processing Media Files. Consist of disks used in preparing correspondence or other textual or tabular materials, typically for publication or for issue as internal instructions.

Retention Period. Scratch when all essential information has been analyzed, tabulated, or issued.

93. Division Program Direction Subject Files. Consist of correspondence, reference materials, drafts of proposed procedures, copies of news releases, newspaper clippings, and the like related to program activities of the Division of Industrial Prices and Price Indexes. The files include such subject folder titles as Adding Machines, Agricultural Prices, Aluminum, Automobiles, Correction Policy, Estimating Techniques, European Statistics, Food, Jewelry, Key Punch, Lumber Prices, Price Reporting, OMB Clearance Forms, Sampling Frame, 1982 SIC Manual, Telephones, and the like.

Retention Period. Break file every five years and bring active folders forward. Destroy inactive folders when ten years old.

94. Weighting and Related Methodology Historical Files. Major sample expansions and reclassifications of the Wholesale Price Index (predecessor of the Producer Price Index) were undertaken in 1952 and 1967. These files contain documents dated from 1938 to 1974 relating principally to WPI weighting methodology changes in 1952 and later years. They consist of materials of such subjects as Weight Revisions--Brief History (1959); WPI 1952 Revision; Weight Revision (papers dated 1973-74); Concepts; Index Formula; Quality Changes; Implementation of Study Group Recommendations; and the like. They comprise the best available collection documenting the WPI methodological changes in the period covered.

Retention Period. Permanent. Offer to the National Archives of the United States when the most recent document is twenty years old.

95. Producer Price Index Revision (PPIR) Development Files. During the mid-1970's the Office of Prices and Living Conditions established an Industrial Price Revision (IPR) Management Group to direct a project for overhaul of the commodity based methodology. Several subgroups were formed, including the Planning, Analysis, Control, and Evaluation (PACE) Group, and Project Teams. Later, a development committee was established (in 1982) as a successor to the PACE Group for developing the PPIR industry sample recycling methodology and for continuing other development activities as appropriate.

The project resulted in changes from the PPI-oriented methodology to a revised statistical methodology for generating industry-based price data and indexes structured in accordance with the Standard Industrial Classification System (SIC).

These files consist of documents concerned with the organization and management of the project (including team charters); chronologies of its activities (minutes of the Management Group meetings and periodic reports of the Development Committee Teams); analyses of data sources for selected industries; reports from field representatives; background and project management files of the Assistant Commissioner, Mr. Thomas Tibbetts; statements of requirements for components of the PPIR; a copy of the Industry Analyst Handbook (a training manual); and the like.

Development Committee files, located in the Branch of Non-durable Goods Industrial Price Indexes, represent an extension of the PPIR Development Files and should be combined with them. (See Item 96.)

These files comprise the most significant collection documenting development of the Producer Price Indexes Revision System. They provide valuable source material to the Office staff in their continuing development and refinement efforts.

Retention Period. Permanent. Offer to the National Archives of the United States in 10-year blocks when the most recent record is twenty years old. Screen files and remove duplicate documents.

96. PPIR Development Committee Files. A Development Committee was established in 1982 as a successor to the PACE Group for developing the PPIR industry sample recycling methodology and for continuing other development activities as appropriate. Under direction of the Development Committee, several teams were established with responsibilities for assigned functional areas of the project.

These files include materials pertaining to the organization and management of the Committee and its subordinate teams; progress reports from the teams concerning issues, problems, and proposals; and team products such as statements of system requirements (e.g., weighting, index calculations, computer sub-files, computer listings, and non-response adjustment procedures).

As these records document development activities as an extension to the PPIR Development Files in the Office of the Assistant Commissioner (Item 95), they should be combined with these files.

Duplicate sets of some documents were maintained by various analysts throughout the Division.

Retention Period. Permanent.

- a. Record copy set. Combine with the PPIR Development Files in the Office of the Assistant Commissioner (Item 95).
- b. Other copies. Destroy when no longer needed for current business.

97. Division PPIR Budget Files. Consists of reference documents relating to the Division's budget formulation and execution matters during the development and installation of the revisions to the PPI System, 1977 to date of this writing. Concerns such budgeting matters as plans, correspondence, justification data, periodic reviews, and the like. Official budget records are maintained at a higher echelon.

Retention Period. Destroy five years after completion of installation of the PPI Revision System, or when no longer required for current business, whichever occurs sooner.

\*98. Inactive Motor Vehicle Quality Adjustment Files. Consist of materials maintained by former Branch Chief Buford Paschal, related to his direction of the WPI indexes for motor vehicles. They include such documents as internal correspondence, correspondence with manufacturers, reports of plant visits by BLS Regional Office representatives, tables for publication, meeting notes, and the like dated from 1962-1977. Related files are maintained in the Branch of Durable Goods Industrial Price Indexes: Item 134, Motor Vehicles Quality Adjustment--Estimation Files. These files combined with the section of the latter files for the period prior to 1979 are to be transferred to the Washington National Records Center and destroyed when the latest dated record is twenty years old (1999).

Retention Period. Combine with Item 134, Motor Vehicles Quality Adjustment--Estimation Files for the period prior to 1979. Remove duplicate documents.

\*99. Inactive File on Steel and Other Metals Pricing. Consists of papers maintained by former Branch Chief Buford Paschal. They include such materials as correspondence with company representatives and statistical associations, notes of meetings, tables from publications, and the like (dated 1964-1966). Related files are maintained in the Branch of Durable Goods Industrial Price Indexes: Item 138, "Inactive Files on Steel and Other Metals Pricing."

Retention Period.

- a. Combine these files with the related file in the Branch of Durable Goods Industrial Price Indexes. Remove duplicate materials.
- b. To the combined file, apply the retention period prescribed for Item 138.

100. Technical Reference/Working Files. These are extra copies, printed materials, working papers, copies of instructional manuals, machine listings, and the like, used for reference purposes in managing internal administrative (housekeeping) and program matters.

Retention Period. Destroy when superseded, no longer needed for current business, or when made obsolete, as appropriate.

## QUALITY ASSURANCE STAFF

The Quality Assurance Staff (QA) directs studies of the price and price index programs of the Office of Prices and Living Conditions to identify potential means of solving quality problems and making improvements.

A team approach is customarily used for such problem-solving and resolution, although the QA staff may initially plan the project, design a proposed solution, implement the changes with the functional office staff and then transfer control to them. Teams, typically, may include personnel from the Program Office (DIPPI), the Office of Field Operations, the Office of Survey Processing, and the Statistical Methods Division, as well as the QA staff.

Results may be changed or new procedures which are issued through the appropriate Price Program system manuals. See Item 208, as an example.

The QA staff also provides the editorial functions for the in-house newsletter, the "Quality Quarterly." This is not a directive-type publication but is used for disseminating information relating to the "Prices" quality assurance activities such as summaries of reports, new developments, and miscellaneous information on the subject of quality. Articles appearing in the newsletter are contributed by BLS employees, and the contents are intended for internal use only.

101. Quality Management Subject Files. Consist of documents reflecting the activities of the Quality Assurance Staff in identifying and resolving quality control needs for the Price Index Programs. Include such materials as correspondence, intra-office memos, flow charts, plans, reference materials, papers to be presented at conferences, project reports, progress reports, training materials, and the like. They concern such subjects as the APPRISE System, American Society for Quality Control Membership, BLS Management Recommendations, Conferences, Estimation Problems, Flow Charts, PPI, CPI, Review Criteria for DIPPI Frame Refinement, Non-Response in PPIR, Quality Assurance Plans, Quality Assurance Reports, Frame Activities, and Sampling Activities.

### Retention Period.

- a. General. Break file every five years and bring active materials forward. Destroy when five years old, except for b. Project Records, and c. Reference Materials.



- b. Project Records. (1) Project background supporting records should be screened annually and destroyed when no longer needed for current business. (2) Other project records are to be destroyed when 10 years old or when no longer needed for current business, whichever occurs first.
- c. Reference materials. Review at least annually and destroy when no longer needed for current business.

102. "Quality Quarterly" Newsletter Record Copy. Consists of a copy of each issue of the Newsletter beginning with its first issue in April 1982. Arranged by date.

Retention Period. ~~Destroy when ten years old or when no longer needed for current business, whichever occurs later.~~  
*PERMANENT. Offer for transfer to the National Archives of the United States 15 year blocks when the most recent record is 15 years old.*

103. Quality Newsletter Original Articles Files. Consist of case folders for each issue, including such materials as a copy of the published issue, drafts of articles received from authors (BLS personnel), and processing check-lists.

Retention Period. Destroy when five years old or when no longer needed for current business, whichever occurs sooner.

104. Quality Newsletter Distribution Copies. Extra copies of issues of the Prices Quality Newsletter for responding to BLS requests.

Retention Period. Destroy when no longer needed for current business.

\*105. Intermediate Printouts, Job Runs, Worksheets. In carrying out the Quality Assurance Staff (QA) activities, QA program personnel obtain various intermediate printouts, job runs, or worksheets as part of the computer processing required to support the price and price index programs of the Office of Prices and Living Conditions. These machine-produced listings pertain to such matters as: runs related to compiling and analyzing data for QA studies; changes, errors, etc., involving the various data bases; problem and analysis reports; as well as other printouts for management review. Also involved are listings concerning answering requests for information, special runs, runs related to developing or improving computer systems concerned, and the like. Such listings in this item are not covered by other items of the Schedule listed above.

developing or improving computer systems concerned, and the like. Such listings in this item are not covered by other items of the Schedule listed above.

Retention Period. Destroy when essential information has been analyzed, tabulated, or issued, or when superseded or made obsolete, as appropriate.

106. Quality Assurance Technical Reference/Working Files. These are extra copies, printed materials, working papers, copies of instructional manuals and the like, which are maintained by the QA program personnel covering their assigned areas of work as well as computerized operations and statistical procedures and methodology.

Retention Period. Destroy when superseded, no longer needed for current business, or when obsolete, as appropriate.

107. QA Word Processing Media Files. Consist of disks used in preparing correspondence or other textual or tabular materials, typically for publication or for issue of internal instructions.

Retention Period. Scratch when all essential information has been analyzed, tabulated, or issued.

108. QA Machine Processing Files. Consist of processing tape or disk files of the Quality Assurance activities as defined by General Records Schedule (GRS) 20, such as work files, valid transaction files, and the like covering machine readable records not specifically listed under other schedule items. (See page 179 of this Schedule.)

Retention Period. Apply the retention periods of GRS 20-Part II, Items 1 through 14, as applicable.

**BRANCH OF DURABLE GOODS INDUSTRY PRICES**  
**AND**  
**BRANCH OF NON-DURABLE GOODS INDUSTRY PRICES**  
**DIVISION OF INDUSTRIAL PRICES AND PRICE INDEXES**  
**OFFICE OF PRICES AND LIVING CONDITIONS**

**BRANCH OF DURABLE GOODS INDUSTRY PRICES**

Functions

(1) Conducts studies of the durable goods market organizations, price structures, pricing patterns and price variances to produce precise measures of industry input and output, price changes, and commodity price movements.

(2) Classifies price data and develops weights in accordance with established procedures and the Standard Industrial Classification System.

(3) Selects items to be priced and represent significant durable goods price trends and to meet the needs of price data.

(4) Develops specifications for sampling plans to be used in obtaining price data.

(5) Analyzes data initiation results to verify adequacy of collected data for program objectives.

(6) Conducts econometric research and directs necessary data collection to perform quality adjustments.

(7) Prepares written analysis of current and historical price behavior in each industry. Develops models of industry behavior to support such analysis.

**BRANCH OF NON-DURABLE GOODS INDUSTRY PRICES**

Functions

(1) Conducts studies of the non-durable goods market organizations, price structures, pricing patterns and price variances to produce precise measures of industry input and output, price changes, and commodity price movements.

(2) Classifies price data and develops weights in accordance with established procedures and the Standard Industrial Classification System.

(3) Selects items to be priced to represent significant non-durable goods price trends and to meet the needs of users of price data.

(4) Develops specifications for sampling plans to be used in obtaining price data.

(5) Analyzes data initiation results to verify adequacy of collected data for program objectives.

(6) Conducts econometric research and directs necessary data collection to perform quality adjustments.

(7) Prepares written analysis of current and historical price behavior in each industry. Develops models of industry behavior to support such analysis.

**BRANCHES OF DURABLE AND NON-DURABLE GOODS INDUSTRY PRICES**  
**DIVISION OF INDUSTRIAL PRICES AND PRICE INDEXES**  
**OFFICE OF PRICES AND LIVING CONDITIONS**

**General**

For organizational purposes, the Division of Industrial Prices and Price Indexes (DIPPI) divides the various manufacturing or mining industry products for which it generates indexes between two Branches - one for durable goods and one for non-durable goods. The allocation of products between the two Branches is primarily based upon the Bureau of Census definition that products with an expected lifetime of less than three years are classified as non-durable, and products with a longer life expectancy are considered to be durable goods.

Within this definition, both Branches are responsible for the issuance of the commodity-based indexes of the Producer Price Index (PPI--former Wholesale Price Index), and for the indexes of the Producer Price Index Revision, known as the PPIR. The switch to the revised statistical methodology for generating the industry and product class, and other indexes of the PPIR began in 1978. By mid-1986, PPIR indexes are expected to be available for 488 mining and manufacturing industries. When this phase of the revision is completed, the PPIR is expected to involve each month some 90,000 productive and nonproductive price quotations covering some 6,000 published product indexes of these industries.

The former PPI being phased out, using its traditional commodity-oriented methodology, generated some 3,000 commodity price indexes arranged under a unique BLS numerical commodity coding system. The PPIR, however, using its comprehensively revised, industry-oriented, statistical methodology, will continue to generate the same numerically coded tabular commodity groupings and item price indexes of the PPI (Table 6) formerly issued under the traditional PPI methodology, in addition to its other types of indexes.

The PPIR is an industry-based index, with its primary tabular industry-product class indexes being structured in accordance with the Standard Industrial Classification System (SIC). Its principal tabular presentation, "Producer Price Indexes for the Net Output of Selected Industries and Their Products" (Table 4), arranges the covered industries numerically by 4-digit SIC codes, and the price indexes for the products of each industry by the more precise 5- to 9-digit SIC classification levels thereunder. As of 1985, Producer Price Indexes also began to be published for industries aggregated at the 2- or 3-digit SIC level.

Detailed procedure manuals have been developed to reflect the methodology and responsibilities of these two Branches, as well as the other Branches of DIPPI, the various headquarters support offices, and the Regional Offices all of which work together in generating PPI and PPIR indexes.

The production cycle in these two Branches of DIPPI for generating monthly PPIR indexes involves two major activities: (1) Developing or recycling (redrawing) the sample segments to identify the appropriate number of establishments or firms which must report monthly the prices of their products for each of the 488 manufacturing or mining industries covered by these two Branches for the PPIR; also initially receiving and entering into the PPIR system data bases price quotations and other data from such establishments within each industry; (2) Monthly repricing or maintenance activities within the Branches required to review the monthly price quotations received from reporting establishments and to estimate and publish the various PPIR indexes.

1. Industry Sample Development and Initiation of Industry Reporting. Some 21 sample segments have been developed since 1978 to provide the appropriate number of establishments reporting monthly prices for each of the 488 manufacturing and mining industries covered by the Branches. At the time of this writing, the samples for industries covered by 3 sample segments are being redrawn to provide for up-to-date effective establishment reporting.

Central to developing industry samples and initiating of reporting by the establishments of an industry are the industry studies carried out by the industry analysts (economists) of DIPPI. Each Branch analyst under the direction of a team leader is responsible for a specified number of industries. Working with the Branch of Index Analysis and Control of DIPPI, the support headquarters offices, and the Regional Offices, the analysts carry out industry studies for whichever of their industries are included in the development or recycling of the sample segments being worked on.

An industry study is a developmental research effort that culminates in the automated publication of producer price indexes for the selected products of the industry. Each industry has its own characteristics and special problems which must be addressed during the study to fit its pricing reports into the PPIR System and generate useful, accurate, and efficiently produced indexes.

When a study is completed, the analysts and supervisors of the Branches and the support headquarters offices will have provided the Regional Offices with enough detailed information descriptive of the industry and its products so that the Regional

Representatives will know which establishments they should visit to initiate reporting and be guided in selecting the particular products of the industry for which price quotes are to be reported.

In addition, the necessary information will have been developed to guide the support office of Industrial Prices and Industrial Relations (IPIR) in entering the required data on the industry and its products into the PPIR computer system so that the repricing and maintenance activities involving the monthly publication of the industry producer price indexes can begin.

Such monthly repricing activities can begin after the Industry Analysts and other DIPPI reviewers receive the initiation quotes, obtained by the Regions from the establishments of the industry, review and revise them, and approve the entry of the establishments' reports into the computerized collection system (data base), which serves as the initial point of entry into the automated index publication system. This system, the Automated Producer Price Revision Index System for Economists, is known as APPRISE, and was placed into operation as of November 1984.

2. Branch Monthly Repricing and Maintenance Activities.  
Under APPRISE, the monthly repricing schedules are computer-generated and mailed to the establishments by headquarters offices. The returned routine schedules are entered into the APPRISE Data Base by an Optical Character Reading System. Any non-routine schedules are separated out and copies are sent to the appropriate Branch Industry Analyst. After Analyst and other DIPPI reviews, the reported schedule data are entered into the APPRISE Data Base. From there, the monthly reported repricing data are entered into the Estimation System (Data Base) which automates the production of the monthly published tabular industry-product indexes of the PPIR, as well as the commodity-based indexes of the PPI including the Stage of Processing Indexes and other Indexes.

Throughout this index production process, a heavy flow of various types of machine listing sheets are sent to the Industry Analysts or other DIPPI reviewers to keep them apprised of the status of the industry reporting and index production activities and of the status of the data maintained in the PPIR computer files. Each Industry Analyst has his own terminal and screen and has access to and can input data into the PPIR computer files for his assigned industries. These files, however are maintained by the Support Office of Industry Prices and Industrial Relations (IPIR), rather than by DIPPI.

## Branch Records on the PPIR

The bulk of the records of these two Branches of DIPPI are concerned with uniform types of index production processes involving the carrying out of industry analytical studies and the development of industry samples, the initiation of reported data from the sampled establishments of the industries, the define and enter activities concerned with inputting the collected data into the PPIR system, the monthly repricing reporting processes from the establishments, and the automated monthly production and publication of the computer-generated tabular PPIR indexes. These index data are published monthly as a Press Release, "Producer Price Indexes"; and as a Monthly Bulletin and Annual Supplement, "Producer Prices and Price Indexes"; as well as in machine readable format in LABSTAT.

## Special Branch Records

In addition to the basic uniform index-production-types of records, various other types of records are maintained in the Branches. These include: (1) program subject and administrative files of the Branch Chiefs and the team leaders concerned with supervision and review of industry analyst work and with their roles in participating in various Bureau task forces concerned with system development and design; (2) special collections concerned with providing guidelines on quality adjustment problems concerning industries with complex product specifications such as motor vehicles, steel, electronic equipment, heavy machinery, and the like; (3) collections concerning special indexes or publications issued for certain types of industries, such as those for motor vehicles, steel vessels, refined petroleum products, and the like; (4) collections concerned with reporting requirements for conglomerates and other multi-SIC corporations which do not conform to the standard 4-digit industry reporting procedures; (5) collections concerned with developing higher SIC level indexes; and (6) certain inactive collections pertaining to the former WPI (PPI) indexes.

In addition, in the area of industries concerned with food and agricultural product reporting, to avoid duplication of effort, analysts of the Branch of Food and Farm Products of the Division of Consumer Prices and Price Indexes are involved in developing PPIR indexes for those industries. The team of this Branch concerned with Producer Price Indexes carries out much the same type of activities as those of the DIPPI teams, except that the source data covering prices received by farmers are obtained directly from the Department of Agriculture. The bulk of the work of this team, however, involves standard-type producer price index production.



## SUPERVISORY FILES COVERING BOTH BRANCHES

\*109. Branch Chief Program and Administrative Subject and Listing Sheet Files. The Branch Chief files for the Durable and Non-durable Goods Branches cover both program and administrative subject matters. The files of the Branch Chiefs consist of Branch copies of correspondence; copies of industry study documents involved in sample segment development or recycling; records pertaining to Branch Chief supervision of teams and industry analysts, such as weekly industry study progress report listing sheets, work scheduling documents, personnel evaluation documents, and the like; flexitime and time and attendance records; records of committees or conferences attended; Branch Chief travel records; transmittal records involving sending of materials to IPIR or to SMD; copies of instructional materials and guidelines for producer price reporting; materials reflecting the participation of Branch Chiefs in various Bureau, Office, or Division task forces or committees involving the development of systems or various reporting procedures; selected listing sheets; and the like.

### Retention Period.

- a. Program Records. Break files every five years and bring forward active materials to new files as required. Destroy when ten years old or when no longer needed for current business, whichever is sooner.
- b. Administrative Records. Destroy when three years old except for (1) weekly industry study progress reports which shall be destroyed when one year old and (2) records on individual employees which shall be destroyed one year after separation of employee.
- c. Program Machine Listing Sheets. Destroy when superseded or when no longer needed for current business, as appropriate.

110. Branch Chronological Files. Files consist of binders containing extra copies of memoranda or letters prepared in the Branches arranged in chronological order.

Retention Period. Destroy when three years old.

\*111. Inactive file of Former Branch Chief, Buford Paschal. Consists of collected materials of former Branch Chief, Buford Paschal, largely of a subject matter nature, covering both program and administrative activities of the Branch and his supervising of the industry analysts of the Branch. Much of the

file concerns the development and maintenance of the commodity indexes of the former Wholesale Price Index covering the motor vehicles, metals, electrical and non-electrical machinery, transportation equipment, and other industries or commodities assigned to the Branch. The file also consists of various published background materials on establishing indexes or obtaining prices on these commodities and industries. Also included are Branch copies of correspondence pertaining to internal clearance within the Division of initiation or repricing data obtained from reporting establishments and published in the PPI or PPIR, as well as copies of correspondence to outside organizations typically signed by the office head.

The file also includes handwritten work papers and drafts of Mr. Paschal, handwritten notes of meetings of various committees, folders covering various commodities or industries, folders on personnel, travel, budget, flexitime, or other administrative topics, extra copies of materials transmitted to IPIR, some files on changes in automobile quality or specifications as they affected the PPI or PPIR, 1975-1980, and the like.

Documentation regarding guidelines for reporting, index methodology, procedures, or policies, which may have originated in the Branch, typically was forwarded for review by Division or Office level officials or special review committees, and, as such, would be reflected within higher echelon files.

Retention Period. Bring forward materials on motor vehicle quality or specification changes or other current materials as they affect the producer price indexes to appropriate team leader files or Division files. Remainder--destroy when screening is completed.

\*112. Team Leader Program and Administrative Subject, and Listing Sheet Files. Team leaders, as principal supervisors of their respective industry analysts, maintain small program and administrative subject files reflecting procedures followed, personnel matters, and the status of the work being done. These files include copies of price notes prepared by analysts for possible use in narrative segments of monthly publications, various periodic summary machine listings reflecting the status of the estimation data base or indexes covering their assigned industries, copies of press releases and special reports, extra copies of internal correspondence, copies of personnel evaluations, copies of progress reports, copies of various regional end-of-survey reports or guidelines, and other procedural memorandums pertinent to their responsibilities, and the like. In certain instances, files are inherited from predecessors.

Certain team leaders have background materials, drafts, working papers, clearance papers, and tabular records pertaining to articles written for Monthly Labor Review or publication in other economic journals, presentations, and the like.

See Item 126 for detailed description of team leader industry study files.

Retention Period.

- (1) Program and Administrative Files. Break files every five years and bring forward active materials to new files as required. Destroy when five years old or when no longer needed for current business, whichever is sooner, except that team leader copies of industry studies or initiation documents shall be destroyed after replacement by a recycling industry study.
- (2) Program Machine Listing Sheets. Destroy when superseded, or when no longer needed for current business.

CENTRALIZED FILES COVERING BOTH BRANCHES

\*113. Multi-SIC Industry Company Participation Files. Under the PPIR, special handling is required for conglomerates or other large corporations which involve multi-SIC industries. Typically, the reporting by these establishments requires central office clearance and special procedures. At present, some 40 corporations are considered as multi-SIC companies. Separate folders are maintained for each company containing the negotiation package to report as a multi-SIC company under the program, correspondence with the companies, and background data on the companies. The program for multi-SIC companies was instituted in 1982.

Retention Period. Destroy when no longer needed for current business.

114. Procedure Development Files, Multi-SIC Company Program. Special guidelines and other procedural memoranda are cooperatively prepared by the DIPPI industry analyst, the IPIR personnel, and the Office of Field Operations for the multi-SIC company program. Such procedures or guidance are formally issued by the Office of Field Operations, as they involve Regional activities.

The files consist of drafts, clearance papers, background materials, and copies of the guidelines or technical memoranda.

Retention Period. Destroy drafts and superseded materials after final issuance of procedures. Destroy DIPPI copy of formal procedures when no longer needed for current business.

\*115. Multi-SIC Company Subdivision Identification Files. The analyst responsible for identifying the various subdivisions of Multi-SIC companies that will report under the program uses various machine listing sheets and background records to aid in identifying these subdivision reporting units. Such machine listing sheets as the following would be included: the UI (Unemployment Insurance) Universe Listings of Establishments, the Weight Data Base Listings, the Misclassified Company Listings, and the Company Match Listings, and the like. Updated versions of these listings are obtained periodically.

Retention Period. Destroy when superseded, or when no longer needed for current business, as appropriate.

\*116. Repricing Monitoring Files, Multi-SIC Companies. To monitor the repricing reporting of the various subdivisions of the multi-SIC companies, various machine listings are obtained periodically. Such machine listings as the following are included: the sample Segment Selection Unit Listings, and the Monthly Reporter Address Reports reflecting the status of the Repricing Data Base, and the like.

Retention Period. Destroy when superseded, or when no longer needed for current business, as appropriate.

117. Higher Level SIC Industry Index Files. Table 4 (Producer Price Indexes for the net output of selected industries and their products) of the Monthly Bulletin, "Producer Prices and Price Indexes Data," has been revised by the insertion of 2- or 3- digit SIC Industry index data within the numerical SIC arrangement of the previous 4-digit industry index tabulations.

A series of special listing sheets covering both Branches was generated to insert the appropriate 2- or 3-digit aggregated index data within the computer estimation data base for 4-digit SIC industries for publication into table 4.

These listing sheets include: higher level 2- or 3-digit SIC industry define and enter listings for each of the covered 4-digit SIC industry indexes, industry extract weight

listing sheets from the data base, net output ratio listing sheets, census weight industry listing sheets, split industry special listing sheets, and various intermediate processing listing sheets reflecting various computer runs during the higher level index development process.

Retention Period. Destroy when revised or obsoleted, or when two years old, whichever is later.

118. Record Copy Set of Define and Enter Listings. As part of an industry study, analysts develop index publication goals statements by 4-digit SIC industries and for subordinate 5-9 digit product classifications within each industry. The define and enter listing sheets reflect the aggregation tree (hierarchical structure) for producing via the estimation system published price indexes for 4-digit industries from reported detailed product quotes at higher digit SIC levels.

The listings are arranged by 4-digit SIC numbers, and the official sign-off copy contains a face sheet with signature of the analyst and team leader as to the finality of the publication statement. A central set of the listing sheets is maintained as well as analyst copies.

Retention Period.

- (1) Central set: Destroy industry listing sheets when superseded by completion of recycling sample segment involving the particular industries.
- (2) Analyst copies: Destroy when no longer needed for current business.

119. Control Log on Transmittal of Industry Study Documents to IPIR. As part of a monitoring system covering the progress in completion of the industry study - sample recycling work of the two Branches, a manual log is maintained on the progress of IPIR in entering various documents involved into the PPIR computer system.

Retention Period. Destroy when replaced by next sample segment recycling log.

\*120. Central Translation Coding Sheet Files. In entering reported initiation check-list data into the collection data base, coding sheets (translation forms) are prepared to guide key punchers during the input process. Such coding sheets are grouped by the sample segment involved and by the industry or check-list thereunder.

Retention Period. Destroy when check-list information is successfully entered into the data base.

\*121. Central Collection Data Base Machine Listing Update Files. As check-list data are "translated" and entered into the collection system for the industries covered by a particular sample segment being recycled, machine listings are obtained reflecting the status of the data base with the inputting of the initiation check-list data for the industries covered by a sample segment recycling. Typically sample segments are recycled on a 4-month basis.

Retention Period. Destroy when replaced by updated status machine listing sheets.

\*122. WPI Interim Weight Adjustment Files. Consist of inactive files of an Interim Weight Adjustment Task Force which in 1975 recomputed weights for both WPI industry SICs and WPI commodities based on such Bureau of the Census data as the Census of the Manufactures publications, Current Industrial Reports, and the like.

One of the files is numerically arranged by BLS numerical commodity codes included in the WPI, and the other is numerically arranged by 3-digit SIC industry codes for the industries covered by the WPI. Also included is a drawer of various Census publications serving as source material for the analysts who recommended the weight adjustments to the task force. The commodity or industry folders contain internal memoranda, selected Census publications, and hand tabulations covering weight development.

Retention Period. Destroy when the PPI system is phased out and replaced by the PPIR system.

\*123. Central Sample Development or Recycling Industry Study Files Including Pretest Records. The central industry study file, arranged numerically by 4-digit Industry SIC number, serves as the record copy file of the Division of Industrial Price and Price Indexes reflecting the activities of both the Durable and Non-durable Goods Branches in developing or recycling samples involving the particular industries covered. Such studies result in the development of a particular listing of establishments to be initially contacted by the BLS Regions to provide initiation and repricing reporting on the price data for specific products of the industry by the establishments in the sample, typically at the 7- to 9-digit SIC levels. Also developed are guidance materials for regional personnel in making initial interviews of the establishments.

A standardized series of steps are involved in industry studies, some of which can be more comprehensive than others, depending on the type of industry covered. A checklist is typically placed in the folder, outlining the various documents to be prepared during the study. The number before each listed document is circled by the supervisor when he releases the completed documents for the file.

The following types of documents are typically included in an industry study folder, although not all studies include all of these documents: (1) Industry background or summary statement (Phase I and Phase II), (2) Publications Goals Package, (3) Checklist and Definitions, (4) Pretest Decision Statement, (5) Pretest Unit Proposal, (6) File Refinement and Cluster Package, (7) Sample Recommendation, (8) Industry Questions and Procedures, (9) Pretest Package, (10) Draft Synopsis for Comment, (11) Final Industry Synopsis, (12) Weights Update Memorandum, (13) Final Translators, and (14) Wylbur Data Set Information.

In the food processing industry area, industry studies are carried out by the Food and Farm Products Team of the Consumer Price Index Division. The record copies of these industry studies, however, are sent to the DIPPI, Non-Durable Goods Branch Chief, for inclusion in 4-digit SIC order, in this Division Industry Study file.

Certain documents, such as sample frame machine listings from the UI or CDC Universes and quality reports on the operation of the previous sample may also be included in the files, although they are not specifically listed on the checklist. Because the sample development work results in listings of individual establishments, these files must be considered confidential.

Duplicates of certain of the documents included in these Division files are maintained at the team leader level and also by individual industry analysts.

Pretest records involve reported price data at selected establishments as required in pilot testing of sample listings and guideline materials furnished the Regional Offices. Such pretesting is only involved in certain of these studies, depending on various factors. This sample development and recycling industry study files methodology may be extended in the future to other industry prices areas such as service industries.

Retention Period. Destroy folders pertaining to previous industry sample development or recycling studies when the replacement sample produces price data for publication involving the same industries. Avoid maintenance of duplicate copies of documents in the file.

**NON-CENTRALIZED FILES MAINTAINED IN SEVERAL  
OFFICES OF BOTH BRANCHES**

124. COM microfiche Summary Index Reference Files. COM microfiche are prepared to provide on-site access to selected index data and other data sets maintained in machine readable format at the central computer center. These small microfiche collections include fiche covering such areas as the up-to-date public LABSTAT index time series number data for the PPI and the PPIR indexes, the ISPI Subfile 1980-, the PPI detailed specifications 1/79, and the WPI and SIC weight diagrams 1972 and the like.

Sets of these microfiche files are maintained next to reader-printer machines at strategic locations for use by personnel of the two Branches as well as personnel of the Branch of Index Analysis and Control (BIAC). Microfiche are updated at periodic intervals.

Retention Period. Destroy when superseded, or when no longer needed for current business, as appropriate.

125. Word Processing Media Files of the Branches. Files consist of word processing media (such as disks) containing drafts and/or final versions of textual and tabular materials which are produced on paper, such as correspondence, mailing lists, administrative reports, and program documents. Such files are maintained by Branch Chief and team leader secretaries.

Retention Period. Scratch when all essential information has been analyzed, tabulated, mailed, or issued.

**INDUSTRY ANALYST--TEAM LEADER STANDARD  
PPIR PRODUCTION FILES**

**(1) PPIR Sample Development or Recycling Industry Studies Files**

\*126. Team Leader Industry Study Files. Team leaders provide the principal review of industry analysts' work in preparing industry studies pertaining to sample development or recycling for the particular industries concerned. Team leaders received copies of memorandums prepared by their industry analysts as well as copies of the various documents as outlined in Item 123 involved in industry studies. They review and comment on analysts' work and pass on the materials for Branch Chief review, comment, and signature of internal memorandums addressed to support offices of the Bureau also involved in such studies.



As such, team leader industry study files duplicate those at the Division and industry analyst levels and are maintained primarily for ease of reference of the team leader.

Retention Period. Destroy duplicate copies and superseded drafts in the file after completion of the study. Destroy entire superseded file after its replacement by the recycled sample and the production of published price data using the replacement sample.

\*127. Industry Analyst Industry Study Files. The industry analysts of the Branches prepare the various documents and transmittal memorandums included in Division record copy industry study file as described in Item 123. The analysts maintain drafts and their copies of the transmittals and the various documents which are passed along to the team leader and from the leader to the Branch Chief for review and comment.

The completeness of the industry analysts' files varies with each analyst. Some maintain drafts, multiple copies of documents, background reference materials, and the like in these numerically arranged industry files as an on-going file accumulated during a study. Others maintain only the final copy of the most important of the study documents assembled after the completion of a study. Such analyst files are only maintained for ease of reference close to the desk of the analyst.

Retention Period. Destroy duplicate copies and superseded drafts in a file after completion of the study. Destroy entire superseded file after its replacement by the recycled sample and the production of published price data using the replacement sample.

## (2) PPIR Establishment Initiation Files

\*128. Collected Establishment and Item Listing Sheets and Related Company Records. After field representatives visit the various establishments selected for sampling for a particular industry after completion of an industry study, the data collected during the interview are sent back to headquarters offices and entered into the collection data base. Listing sheets reflecting the entries are sent to the appropriate industry analysts who review the data and make corrections as necessary, using special forms to notify IPIR. After final approval is obtained of the corrected initiation data on the pricing of the products from the establishment, a final listing sheet is sent to the industry analyst and the information is

transferred to the repricing data base, to be ready for schedule preparation and periodic repricing.

Certain of the analysts maintain these listing sheets separately from other records. Other analysts, however, include extra copies of the schedules received or SO-50 revision data sheets with the listing sheets to have, in effect a company file.

Retention Period.

- (1) Preliminary collection listing sheets and revision notification forms. Destroy when superseded by revised listing.
- (2) Final establishment collection listing sheets. Destroy when the sample for the industry is replaced by a recycled sample.

**(3) Monitoring Files on Repricing--Index Estimation**

\*129. Individual Establishment Repricing Revision Files (SO-50, 726, Schedules). After establishment repricing schedules are received and entered into the repricing data base by OCR reading, they are reviewed by IPIR. Extra copies of non-routine schedules are sent to the appropriate industry analysts for review prior to final entry.

Before November 1984, when the APPRISE System was placed in effect, an SO-726 transmittal sheet was prepared in IPIR to transmit the Schedule to the analyst. If revisions were needed, the analyst would enter his instructions for revisions on SO-50 forms or on the 726 form which, after review within the Division, would be sent back to IPIR for entry into the repricing data base.

With the APPRISE System in operation, all that IPIR presently sends to analysts for review is an extra copy of the non-routine schedules. Revisions, as necessary, are entered into the data base via terminals at analyst offices, and proposed changes are reviewed by the team leader and BIAC.

Record copies of the Schedules and of the pre-APPRISE change documentation are maintained by IPIR. Copies of these revision documents are maintained at both the team leader and individual analyst levels.

Retention Period. Destroy when six months old, with the exception of the motor vehicle change documentation which shall be destroyed when two years old.

\*130. Repricing Revision Document Log Books. In order to encourage prompt handling of revisions to repricing schedules, log books were maintained at the team leaders' offices to monitor the movement of these revision documents from the time they were received in the Branch until they were sent back to IPIR after review by appropriate officials.

Retention Period. Destroy upon final approval of this Schedule.

\*131. Analyst Machine Listing Sheet Monitoring Files for Repricing or Index Estimation. Typically on a monthly basis, analysts receive various types of machine listing sheets reflecting the status of the estimation data base for the various industries of the PPIR or the commodities of the PPI for which they are responsible. Such listing sheets are used in monitoring the production of the PPI or PPIR in their areas. They provide on-site access to the analysts of the machine readable data maintained at the central bureau computer center.

Analysts review the listings and as required make necessary revisions or updates. Such listings for each month are received in preliminary and final format. Only final listings are retained, as preliminary listings are replaced.

Such machine listing sheets as the following are included, although other listings may be generated:

(1) Monthly cell assignment listings that indicate what items are included in each cell, such as aggregated data, estimation data, weight data, and the like.

(2) Nonactive Review listings that cover reported data from establishments and that do not yet have three productive price reports needed for basing into the APPRISE System.

(3) Price Review listings that indicate some 6-7 months prices reported and comments of reporters.

(4) Detailed Cell Index listings indicating the company included in each cell and its reported prices.

(5) Aggregate Index Analysis listings that indicate by cell code the index publication data for the latest month.

(6) Monthly PPI Index Analysis listings indicating unadjusted data by commodity code.

(7) Such other monthly monitoring listings as are required, such as seasonal factors tables, variance tables, and the like.

Retention Period.

- (1) Preliminary Listings. Destroy when replaced by superseding listings for the month.
- (2) Final listings:
  - (a) Cell Assignment Listings and Nonactive Review Listing. Destroy upon receipt of next month's listing.
  - (b) Price Review, Aggregate Index Analysis, Detailed Cell Index Listings, and other monthly listings. Destroy when one year old or when no longer needed for current business, as appropriate except for motor vehicle price cell listing sheets which shall be destroyed when five years old.

**NON-STANDARD DURABLE GOODS BRANCH TEAM  
LEADER-INDUSTRY ANALYST PPIR PRODUCTION FILES**

**(1) Motor Vehicle Quality Adjustment Files**

132. Annual Motor Vehicle Quality Adjustment Press Release File. Each year as of October at model change time, the Branch issues a special one-page press release concerning the quality adjustments to passenger cars and the affect on the Producer Price Index and its predecessors. The small file for the record copy is presently kept chronologically in one binder and covers the period 1974 to date. Some correspondence is maintained with persons requesting copies.

Retention Period.

- (1) Record copy. Permanent. Offer record copy for transfer to the Archives of the United States in blocks of fifteen years when the most recent release is fifteen years old.
- (2) All other copies. Destroy when no longer needed for current business.
- (3) Correspondence with requesters. Destroy when placed on mailing list or when individual copy is sent.

\*133. Data Base on Quality Adjustments for Motor Vehicles. A time series data base containing confidential data on model changes and quality adjustments reported by manufactures, is maintained at the central Bureau computer facility by the team concerned with motor vehicles. In addition, other related quality adjustment data are included involving changes to motor vehicle specifications as they affect the price indexes based on evaluation studies of the team. This on-line disk file contains the programs required for the file as well as the data sets inputted via terminals of the team.

The standard periodic file security dump to tape carried out at the central bureau computer facility is applied to this small data base.

Retention Period. Scratch when all essential information has been analyzed, tabulated, or published.

\*134. Motor Vehicle Quality Adjustment Estimation Files. The preparation of producer price index data for motor vehicles, including trucks, buses, as well as the many models of passenger cars, poses special problems because of the need to take into account the many changes in vehicle specifications of the annual model changes, and the effect on the continuous indexes of the quality changes of the vehicles. Quality adjustment procedures and studies have been in effect over the years to overcome these special indexing problems involving changes in the value of the vehicles caused by model specification changes.

Extensive hard copy records have been kept documenting the detailed specifications of the various vehicles covered, the confidential manufacturer's claimed value of the various specification changes of the vehicles, and the studies of the team in evaluating the claimed value changes and determining an accepted Bureau quality adjustment.

Special Bureau committees have reviewed the vehicle quality adjustments, the team proposals to accommodate vehicle specification changes, and special instructions or guidelines outlining Bureau policies in providing for quality adjustments.

The vehicle quality adjustment records cover with some gaps the period 1945 to date, with records for each year from 1963 to date. Typically, the more recent years' files include correspondence and source data on cost of changes to models obtained from the companies and the specifications for new or changed models; various worksheets and tabulations and the like prepared by the team in evaluating the claimed value of the changes of the manufacturers; internal memoranda in the various review steps within the Branch, Division, and Bureau in determining an accepted Bureau position on quality adjustments;

and copies of correspondence, signed typically at higher Bureau echelons than the Branch in communications with the manufacturers concerning the Bureau's quality adjustments. These company adjustment records are also used by the CPI in its indexes.

Since 1979, a special machine data base has been established by the team covering these quality adjustments (see Item 133). Also, special press releases are issued covering vehicle quality adjustments as of October.

Retention Period.

- (1) Prior to 1979. Transfer immediately to WNRC. Destroy when latest dated record is twenty years old (January 1999).
- (2) 1979 to date. Destroy when the previous sample for the industry is replaced by a recycled sample.

135. Company Literature--Periodical Background Files on Motor Vehicles. Special background printed materials are obtained by the team concerned with transportation and motor vehicles. These include various shop manuals, catalogs, sales brochures, and other manufacturer-produced literature descriptive of the specifications of the various models of vehicles involved in quality adjustment studies of the team. Also included are Census of Manufacturers' bulletins, Bulletins of the National Highway Safety Administration, materials on emission controls, and the like.

Special periodicals such as "Ward's Automotive Report" or weekly and annual issues of "Automotive News" are also collected by the team.

Retention Period.

- a. Company Produced - government agency materials. Destroy when superseded, or when ten years old, as appropriate.
- b. Wards Automotive Reports. Destroy when ten years old.
- c. Weekly Automotive News. Destroy when two years old.
- d. Annual Automotive News. Destroy when ten years old.

## (2) Other Non-Standard Durable Goods Branch Files

### 136. Durable Goods Special Price Index Issuances.

Presently, four special indexes are being generated covering producer prices of Hydraulic Turbines (issued bimonthly), and monthly indexes covering General Purpose Tactical Vehicles, Steel Vessel Contracts, and Electrical Equipment. These special indexes, which cover the period 1970 to date are distributed through the Office of Publications which maintains mailing lists of persons or firms requesting them. Typically, they are used by requesters for determining contract escalation agreements and the like.

The team leader for metals maintains a record copy file and distribution copies of these index issuances, as well as a correspondence file covering requests for them. The actual computation of the indexes is carried out at IPIR.

#### Retention Period:

- a. Record Copy. Permanent. Offer record copy for transfer to the Archives of the United States in blocks of fifteen years when the most recent publication is fifteen years old.
- b. All other copies. Destroy when no longer needed for current business.
- c. Correspondence with requesters. Destroy when name is placed on mailing list or when individual copy is sent.

\*137. Inactive File on Farm Machinery, Copiers, and Photography Companies Specifications--Pricing. File consists of correspondence reports of meetings, specifications, and other background materials, and materials from the Farm Industrial and Equipment Institute covering contacts with the Institute on specifications of various types of farm equipment and related pricing issues. In addition, some old PB-18 specification change memorandums are on-hand covering farm or other machinery pricing as well as materials on copier or photography companies.

Retention Period. Destroy when ten years old or when no longer needed for current business, whichever is sooner.

\*138. Inactive File on Steel and Metals Pricing. Consists of copies of correspondence maintained at the team or analyst level concerning the pricing of steel or other metals in the Wholesale Price Index, handwritten notes and drafts of industry analysts, reference materials, clippings, hand tabulations, materials on

developing weights in 1952 or 1958 for steel or metal commodities, material on pricing or sampling, and the like.

The bulk of the file is on steel and factors affecting steel product pricing, such as materials on scrap pricing, 1958; steel price increases, U.S. Steel Company forged product pricing, 1978; and steel price changes, 1963. Much of the material appeared to have been accumulated by Buford Paschal when he was responsible for steel and steel product prices.

Also included are Divisional level folders maintained in the Assistant Commissioner's Office covering steel and related product pricing, such as copies of correspondence on steel price estimates sent to Council of Economic Advisers, 1956-1961; background materials on steel hearings, 1963; work papers and hand tabulations on steel pricing, 1965; explanatory memoranda on steel pricing in WPI in 1956-61; and on Pricing in 1963; and the like.

Retention Period. Destroy when fifteen years old or when no longer needed for current business, whichever is sooner.

\*139. WPI Steel--Metal Company Correspondence File. Consists of copies of correspondence and related form records pertaining to contacts with steel and metal producing companies reporting on monthly pricing quotes, revisions, ability to continue reporting, specifications or changes in product lines, requests to commence reporting, and the like. Alphabetically maintained by company name.

Retention Period. Destroy when ten years old.

140. Specifications and Guidelines for Reporting on Various WPI Machinery Commodities. Consists of extra copies of BLS memorandums and guidelines for reporting for WPI on various commodities for which the non-electrical machinery team was responsible. The file is closed and is arranged by WPI commodity number.

Retention Period. Destroy when ten years old.



**NON-STANDARD NON-DURABLE GOODS BRANCH**  
**TEAM LEADER--INDUSTRY ANALYST PPIR PRODUCTION FILES**

141. Special Issuances on Producer Prices for Bituminous Coal and Refined Petroleum Products. Two special index tables covering refined petroleum products monthly and annual Bituminous Coal Producer Prices by Region were issued by the Non-Durable Goods Branch. The coal price record copy file covers the period 1975 to 1981, when the index was discontinued. The monthly petroleum products special index (Table 7) covers the period 1975 to date of this writing, but it is planned to be discontinued during 1985. The files are maintained in two binders and are chronologically arranged. Mailing list folders are also maintained.

Retention Period.

- (1) Record Copy. Permanent. Offer for transfer to the Archives of the United States when the most recent publication is fifteen years old.
- (2) All other copies. Destroy when no longer needed for current business.
- (3) Correspondence with requesters. Destroy when name is placed on the mail list or when single issuance is sent.

142. Department of Energy Reports on Electric Power Industry. Monthly report forms are received from the Department of Energy covering both producer prices received from selected sampled electric power companies as well as consumer point-of-purchase prices from the power companies. Copies of these reports are forwarded to appropriate CPI offices. These data are entered into the appropriate data bases of the PPIR System.

Retention Period: Destroy when one year old, or when no longer needed for current business, whichever is sooner.

143. Source Data Files for PPI or PPIR Indexes, Food, and Farm Products Prices. To obtain data on monthly prices received by farmers, published data of the Crop Reporting Board or of the Market News Service of the Department of Agriculture are used. In addition, private market news reports are obtained covering such markets as Chicago and New York. In some instances, telephone data are received from Department of Agriculture offices in order to meet publication deadlines.

These data are entered into the appropriate data bases of the PPIR system.

Retention Period. Destroy when one year old or when no longer needed for current business, whichever is sooner.

144. PPI Average Price Tables for Selected Food and Farm Product Producer Prices. The file consists of two binders containing manual entries for time series covering various WPI Food and Farm products producer average price indexes, no longer maintained.

Retention Period. Destroy when all essential information has been analyzed, tabulated, or published, as appropriate.

#### RECORDS COMMON TO ALL OFFICES OF THE BRANCHES

145. Producer Prices Technical Reference, Background, Published Source Data, or Work Files. In carrying out industry studies, for sample segment development or recycling, quality adjustment efforts to account for product specification changes, or in other producer price index work, industry analysts, and other Branch program personnel, accumulate extra copies, drafts, published materials, periodicals, industry literature or catalogs, copies of instructional manuals, working papers, clippings, Federal government publications, and the like covering their assigned industries or commodities. In addition, such materials may concern computerized operations and systems, statistical procedures and methodology, and the like.

For certain special industries, business newspapers such as Journal of Commerce or trade journals may be used as sources of price quotes or checks on price quotes.

This item does not cover published source data files or background reference files listed above as specific items of this Schedule.

Retention Period: Review files at least once a year to identify disposable materials. Destroy when superseded, obsoleted, or no longer needed for current business, as appropriate.

\*146. Producer Prices Intermediate Printouts Job Runs, or Worksheets. In generating producer price indexes, industry analysts or team leaders, and other program personnel of the Branches, obtain various intermediate printouts, job runs, or

worksheets as part of the computer processing of these indexes issued by the Division. Frequently, preliminary listings or worksheets representing earlier phases of the index production cycle are replaced by later printouts. In some special cases, manual tabulations or worksheets may be involved.

These intermediate machine or manual listings can involve such steps in the production cycle as: conducting industry studies relating to sample segment development or recycling, initiation of collection of reported data from sampled establishments, review and revision of monthly reported repricing data from establishments, determining quality adjustments required from product specification changes, analyzing reported data and tabulating and estimating preliminary and final indexes, and issuing indexes in press release or other formats.

Also involved are intermediate listings concerning answering requests for information, processing special runs or runs relating to developing and testing the various computer systems utilized, improving existing computer systems, and the like.

This item does not cover intermediate machine or other listings or worksheets covered specifically in other items of this Schedule for the Durable or Non-Durable Goods Branches.

Retention Period: Destroy when superseded or obsoleted, or when all essential information has been analyzed, tabulated, or published, as appropriate.

\*147. Producer Prices Intermediate Machine Processing Files. Files consist of intermediate processing tape or disk, or mass storage files of the producer prices program as defined by General Schedule 20, such as work files, test files, input source files, intermediate input/output files, valid transaction files, and the like covering machine-readable records not specifically listed under the above Schedule items for the Branches (see page 179 of this Schedule).

Retention Period: Apply the retention periods of GRS 20 - Part II, Items 1-14 as applicable.

**BRANCH OF INDEX ANALYSIS AND CONTROL**  
**DIVISION OF INDUSTRIAL PRICES AND PRICE INDEXES**

**Branch of Index Analysis and Control**

**Functions**

(1) Develops and evaluates techniques and procedures to be used in construction and analysis of Producer Price Indexes (PPI), Industry Sector Price Indexes (ISPI), Stage of Process (SOP), and newly developed industrial price indexes such as index formulas, missing price estimates, internal weight determination, seasonal adjustment, and data collection procedures.

(2) Advises other groups in the construction, use, and limitations of PPI, ISPI, SOP, and new indexes.

(3) Analyzes and interprets PPI, ISPI, SOP, and other industrial price indexes and index movements.

(4) Is responsible for index integrity which includes development and monitoring of procedures to ensure the prescribed procedures are followed by analyst and support offices.

(5) Identifies all sources of non-sampling error and develops procedures to measure and reduce such error.

(6) Makes studies of significant items and group index movements.

(7) Prepares regular reports and publishes PPI, ISPI, SOP, and new Indexes. Designs and controls publication procedures.

**BRANCH OF INDEX ANALYSIS AND CONTROL (BIAC)**  
**DIVISION OF INDUSTRIAL PRICES AND PRICE INDEXES**  
**OFFICE OF PRICES AND LIVING CONDITIONS**

The Branch of Index Analysis and Control of DIPPI has responsibility for review, coordination, and monitoring of the activities of the Non-Durable and Durable Goods Branches--and as integrated into the APPRISE system, of the Service Industry Branch - in generating PPI or PPIR indexes to ensure the integrity of such indexes.

In addition, the Branch is responsible for analyzing and interpreting the various Producer Price Indexes and for publishing the monthly Press Release, "Producer Price Indexes," the monthly Bulletin, "Producer Prices and Price Indexes," and the Annual Supplement, "Producer Prices and Price Indexes." It also transmits monthly updated, historical, machine-readable time series Producer Price indexes to the LABSTAT unit of BLS.

The Branch distributes to appropriate teams of other DIPPI Branches the collection (initiation) price data received from reporting establishments, as well as the monthly repricing data received from reporters, and certain pertinent machine listing sheets reflecting the status of the monthly cycle in generating producer price indexes.

It monitors and reviews the activities of the other DIPPI Branches under the APPRISE system in revising reported establishment data and in estimating the indexes, and ensures that monthly production schedules are met in generating the indexes.

BIAC is presently composed of the Office of the Branch Chief and two teams of Economists. One team, the Control Team, is responsible for the distribution, review, and monitoring activities of BIAC. The other team, the Analysis Team, is responsible for analyzing the index data and preparing the text of the various publications, for assembling and issuing the publications, and for interpreting the Producer Price Indexes in answer to inquiries received.

**General**

\*148. Branch Chief Program and Administrative Subject, and Listing Sheet Files. The subject files of the Chief of the Branch of Index Analysis and Control cover both administrative and program matters. They consist of Branch Chief copies of correspondence; records pertaining to Branch Chief supervision of

teams such as progress reports, work scheduling documents, personnel evaluation documents, and the like; records of committees and conferences attended; Branch Chief travel records; transmittal records involving sending materials to IPIR or to SMD; copies of instructional materials and guidelines for producer price reporting; materials reflecting the participation of the Branch Chief in various Bureau, Office, or Division task forces or committees involving the development of systems or various reporting procedures; selected listing sheets; and the like.

Retention Period.

- a. Program Records. Break files every five years and bring forward active materials to new files as required. Destroy when ten years old or when no longer needed for current business, whichever is sooner.
- b. Administrative Records. Destroy when three years old, except (1) progress reports which shall be destroyed when one year old; and (2) records on individual employees which shall be destroyed one year after separation of employee.
- c. Program Machine Listing Sheets. Destroy when superseded or when no longer needed for current business, as appropriate.

149. Branch Correspondence Files. Consist of three-ring binders containing copies of memoranda, letters, etc., prepared in the branch, arranged by date. In some instances, copies of incoming communications, that are being answered, are attached.

Retention Period. Destroy when five years old.

\*150. Branch Time and Attendance Files. Consist of Branch copies of time and attendance, leave and earnings, and related flexitime records pertaining to Branch employees. Official records are maintained in the central BLS Office of Administration. Such records appear to be covered by the Privacy Act.

Retention Period: Destroy when three years old.

151. Branch Internal Processing Instructions Files. Consist of Branch file of internal operating instructions on such subjects as delinquency follow-up, repricing schedule referral and review, index review under APPRISE, and the like. These are separate from the PPIR system manuals.

Retention Period. Destroy when obsolete or no longer needed for current business, as appropriate.

152. Branch Word Processing Media Files. Consist of word processing media (such as disks) containing drafts and/or final versions of textual and tabular materials which are produced on paper such as correspondence, mailing lists, administrative reports, internal instructions, and program documents.

Retention Period. Scratch when all essential information has been analyzed, tabulated, or issued.

\*153. Team Leader Program Subject--Listing Sheet Files. Team leaders, as principal supervisors of their respective team economists, maintain small program subject files. These files consist of such materials as: progress reports or production schedules, copies of correspondence involving answering requests for information or other matters involved in producing indexes, copies of price notes obtained from industry analysts, extra copies of instructional manuals or other procedural issuances, extra copies of price publications, background materials and drafts, various periodic summary machine listing sheets reflecting various phases in the monthly index production cycle, working papers, and the like.

In addition, the files may include background materials, working papers and tabular records, and drafts pertaining to articles prepared for publication in such media as Monthly Labor Review or other economic journals. Small amounts of administrative files may be intermixed.

Retention Period:

- (1) Program Subject Files. Destroy when five years old or when no longer needed for current business, whichever is sooner.
- (2) Program Machine Listing Sheets. Destroy when superseded or when no longer needed for current business, as appropriate.

154. Record Copy of Monthly Press Release "Producer Price Indexes," Monthly Bulletin and Annual Supplement, "Producer Prices and Price Indexes." Record copies are maintained for the Monthly Press Release, "Producer Price Indexes" covering the period 1971 to date, as well as distribution copies. In addition, a record copy set of the Monthly Bulletin "Producer Prices and Price Indexes Data" is maintained covering the period,

1944 to date, as well as distribution or personal copy sets of team analysts. Also a record copy set is maintained for the annual "Supplement to Producer Prices and Price Indexes" covering the period 1972 to date, and for 1945-1971 for a predecessor annual "Wholesale Price Indexes" publication. Duplicate sets are also maintained.

Each of these record copy sets of publications is arranged chronologically. Some are maintained in binders. Accretion is about one cubic foot per year for all sets.

Retention Period.

- (1) The Record Copy Set of each of the three publications. Permanent. Offer record copy for transfer to the Archives of the United States in blocks of fifteen years when the most recent publication is fifteen years old.
- (2) All other copies. Destroy when no longer needed for current business.

155. Tuesday Spot Market Index Publication Record Copy File. A record copy set is maintained of a one-page monthly discontinued issuance on spot market price indexes covering some twenty-three commodities. Each month's publication provides price indexes based on the weekly spot prices at selected markets. The index was published from 1946-1981, when it was discontinued. The file is arranged chronologically and is less than one cubic foot.

Retention Period.

- (1) Record Copy. Permanent. Offer for transfer to the Archives of the United States when the latest issue is fifteen years old.
- (2) All other copies. Destroy when no longer needed for current business.

156. Separates of Tables Published in the Monthly Bulletin or the Annual Supplement. Because of delays in preparation and mailing of the Monthly Bulletin and the annual Supplement, separates of certain of the tables included are maintained for rapid distribution to requesters or for ease of reference. These include the various tables of the monthly Bulletin such as table 4, the 2- to 9-digit SIC industry price index tables and table 6, the detailed commodity price index tables, as well as table 13 of the supplement "Relative Importance of Commodities," used in weighting, as well as other tables included in the various producer price publications.



Retention Period. Destroy upon issuance of the Bulletin or Supplement concerned or when no longer needed for current business, as appropriate.

157. LABSTAT Machine-Readable Historical Producer Price Indexes. The historical time-series machine readable files on Producer Price Indexes are in two segments at LABSTAT. One segment is based on the traditional BLS commodity classification numerical arrangement together with the related Stage of Processing and Durability and other Indexes, and is integrated into the LABSTAT data base. It is updated monthly from data retrieved from the Producer Price Index data base. Most of the time series indexes are available back to 1947 or earlier.

The other LABSTAT segment is based on the PPIR SIC-industry methodology; and, it will replace the Industry Sector Producer Price Indexes and certain other indexes that were previously derived from the traditional commodity-based methodology of the PPI. The existing Industry Sector Price Indexes of the PPI and others of the PPI indexes based on the traditional PPI commodity-based methodology are being integrated into the PPIR industry-product-based segment of LABSTAT. As required, certain of the existing PPI indexes are being re-based to conform to the bases of the PPIR system.

The format of the revised PPIR industry-based indexes is not compatible with that of the LABSTAT data base. However, DIPPI sends monthly to LABSTAT a separate up-to-date tape covering this segment of the historical Producer Price Indexes. Copies of the separate tape are made available to the public upon request. Tapes are by commodity or SIC industry arrangement. Two tapes presently cover the file.

Retention Period. Permanent. Offer for transfer to the Archives of the United States when thirty years old or upon cessation of the program or at mutually agreeable time periods, as appropriate.

\*158. COM Microfiche Reference Files. For convenience of reference by the DIPPI staff, the Branch receives computer output microfiche (COM) versions of selected Producer Prices Index data and other data sets maintained in machine-readable form at the BLS central computer facility. This small file of microfiche duplicates machine hard copy listings which are also received and covered in Items 163 and 164. They include time series data for PPIR and PPI (Historical sub-file industry (PPIR) and commodity Index tables (Item 163); reporter address listings (Item 163); and weight diagrams which are related to the index calculations (Item 164). The microfiche are replaced periodically by updated versions.

Retention Period. Destroy when superseded or when no longer needed for current business, as appropriate.

\*159. Reporter Delinquency Follow-up Files. Consist of forms prepared by Industry Analysts, with any related papers, as to actions taken on reporting establishments which have not been following PPIR repricing reporting schedules in a timely fashion. The assigned economist reviews the forms to monitor the actions taken and entry of appropriate data to the APPRISE data base.

Retention Period. Destroy when one year old or when no longer needed for current business, whichever is later.

\*160. Form 50 Repricing Revision Files. Files consist of reference copies of "Requests for Statistical and Typing Services" (commonly called "Form 50") sent to the Division of Industrial Prices and Industrial Relations (IPIR), Office of Survey Processing. Record copies are maintained by IPIR (Item 258). As the installation of the APPRISE system is completed, the use of these forms is being reduced.

Retention Period. Destroy when six months old.

161. Field Liaison Records. Copies of communications to and from personnel in BLS Regional Offices concerning requests for information or guidance, procedural problems, procedural suggestions, and the like. Copies of queries initiated by the PPIR staff and referred to the Regional Offices may be included. Document control logs are also maintained. These small files provide a management tool to monitor such communications.

Retention Period. Destroy when five years old or when no longer needed for current business, whichever is appropriate.

\*162. PPI/PPIR Interface Analysis Work File. Consists of background and analysis materials collected or prepared in developmental activities related to the interface of the PPI commodity-oriented and the PPIR industry-oriented producer prices structures. The folders, arranged by 4-digit PPIR (SIC) codes, contain such items as worksheets by industry analysts, "Requests for Statistical and Typing Services" (Form 50) for revision of computer files data, computer listings, and the like.

Retention Period. Destroy when obsolete or when no longer needed for current business, as appropriate.

\*163. Control Team Producer Prices Final Machine Listings.  
The BIAC Control Team receives computer printouts which reflect results of the monthly index production efforts. These include such listings as: (1) PERCH (Percent of Change) in indexes tables for industries and products; (2) Historical Sub-file Industry and Commodity Index tables showing for each industry or commodity covered the annual and monthly average index data from the time the index was started; and (3) Reporter Address Listings, comprising a register of reporting establishments and are considered confidential. Listings (2) and (3) are also received periodically on microfiche, and listing (2) historical index data is available through LABSTAT.

Retention Period. Destroy when superseded, obsoleted, or no longer needed for current business, as appropriate.

164. Analysis Team PPIR Summary Level Analysis Machine Listing Sheets. The analysis team relies on a series of aggregated data tables to analyze the various producer price trends and to prepare the narrative statements on trends included in monthly "Producer Prices" Press Release and in the Monthly Bulletin, "Producer Prices and Price Indexes."

These summary level analysis tables include such listing sheets as:

- (1) Monthly Stage of Processing and Durability of Product "PERCH" tables showing for three years percent of changes seasonally adjusted or unadjusted for the current month, three month, six month, and annual changes.
- (2) Monthly Commodity "PERCH" tables providing similar information on a detailed commodity basis. Neither "PERCH" table is published.
- (3) Separates of such monthly published tables as tables A-B, and 1,2, and 3 of the press release Obtained showing price trends at various aggregated levels.
- (4) Monthly Stage of Processing Analysis tables providing only monthly data on stage of processing aggregation levels.
- (5) Historical five year "PERCH" SOP and Commodity tables.

- (6) Historical Sub-file Industry (PPIR) and Commodity index tables, showing for each industry or commodity covered the annual average index data from the time the index was started.
- (7) Such other special monthly or annual analysis tables as are required to determine monthly price trends.

Retention Period.

- a. Monthly or Historical SOP and Commodity "PERCH" Tables and Historical Sub-file Tables. Destroy when superseded by next issuance of tables.
- b. Separates of Monthly Press Release Tables. Destroy upon issuance of press release.
- c. Monthly Stage of Processing Analysis Tables or Other Summary Level Analysis Tables. Destroy when all essential information has been analyzed, tabulated, or published, as appropriate.

165. Mailing List Files. Special mailing lists have been maintained in binders covering the mailing of price index publications to the establishments that are included in the samples. This manual file is in process of being computerized.

Retention Period. Destroy upon successful replacement by computerized file.

\*166. Price Notes Consolidated File. The industry analysts prepare monthly industry or commodity notes covering unusual or special matters involving the prices or indexes under their purview. These notes provide background information to assist in answering questions concerning various changes or movements in the indexes for the particular industries or products concerned. The files are considered confidential as they can discuss pricing of individual companies. Each of the analysts maintains copies as well as the team leader.

Retention Period. Destroy when no longer needed for current business.

## RECORDS COMMON TO ALL BIAC OFFICES

\*167. PPIR/PPI Intermediate Printouts, Job Runs, Worksheets. In carrying out the Producer Prices Program, economists or other personnel obtain various intermediate and preliminary printouts, job runs, or worksheets as part of the computer systems support of the Program. These machine-produced listings can concern the development and recycling of industries and reporting sources involved; reporting, analyzing, and tabulating monthly pricing data; calculating preliminary and final indexes; and issuing index data in press release and subsequently more detailed publication format.

Included may be listings for: status evaluation and other management uses; monitoring data input to computer data bases; and industry economic analysis. Also involved are listings for answering requests for information, special runs, runs pertaining to developing the various computer systems involved on improving processing methodology, and the like. Frequencies of listings are daily to annually, or as needed.

Such listings in this item are not covered by any other items of the Producer Prices Program of the Schedule listed above.

Retention Period. Destroy when all essential information has been analyzed, tabulated, or published or when superseded or made obsolete, as appropriate.

168. Producer Prices Technical Reference/Working Files. These are extra copies, printed materials, business periodicals such as the Wall Street Journal or the Journal of Commerce and other periodicals, clippings and separate articles, copies of instructional manuals or procedural issuances, and the like maintained by Economists, Team Leaders, and other program personnel.

Typically, the members of the Control Team maintain such materials for monitoring the activities of other DIPPI Branches in preparing producer price indexes and index tables covering the assigned areas of work.

Members of the Analysis Team typically maintain these materials as background to preparing the textual segment of publications or tabular presentations or in answering requests regarding interpretation of indexes.

Various working files are also maintained as well as materials on computerized operations and statistical methodology and procedures.

Retention Period. Destroy when superseded, when no longer needed for current business, or when made obsolete, as appropriate.

169. Producer Prices Intermediate Machine Processing Files. Consist of processing tape or disk files of the Producer Prices program as defined by General Records Schedule 20, such as work files, test files, input source files, intermediate input/output files, valid transaction files, and the like covering machine-readable records not specifically listed under the Schedule items above for the Division. (See page 179 of this Schedule.)

Retention Period. Apply the retention periods of GRS 20 - Part II, Items 1 through 14, as applicable.

**BRANCH OF SERVICE INDUSTRY PRICES**  
**DIVISION OF INDUSTRIAL PRICES AND PRICE INDEXES**

**BRANCH OF SERVICE INDUSTRY PRICES**

**Functions**

(1) Conducts studies of the service sector market organizations, price structures, pricing patterns, and price variances to produce precise measures of industry input and output, price changes and of commodity price movements.

(2) Classifies price data and develops weights in accordance with established procedures and the Standard Industrial Classification System.

(3) Selects items to be priced to represent significant service price trends, and to meet the needs of users of price data.

(4) Develops specifications for sampling plans to be used in obtaining price data.

(5) Analyzes data initiation results to verify adequacy of collected data for program objectives.

(6) Conducts econometric research and directs necessary data collection to perform quality adjustments.

(7) Prepares written analysis of current and historical price behavior in each industry. Develops models of industry behavior to support such analysis.

**BRANCH OF SERVICE INDUSTRY PRICES**  
**DIVISION OF INDUSTRIAL PRICES AND PRICE INDEXES**  
**OFFICE OF PRICES AND LIVING CONDITIONS**

The Branch of Service Industry Prices, established about 1980, is responsible, as of this writing, for price indexes for three industries: rail freight, telephone services, and postal services. The service indexes are published in the BLS monthly detailed report, Producer Prices and Price Indexes Data, but are not included in the monthly news release of Producer Prices. Although not now included in the LABSTAT files, time series data for the service industry indexes will, according to plan, be made available through LABSTAT at a later date.

The Office staff is revising the methodology and samples of data sources for the industries presently covered. In addition, in-house studies are underway to expand the service industry price indexes to cover other industries such as pipelines, retail trade, local transportation, computer services, telegraph communications, and air transportation. Over the longer term (6-8 years), the plan is to develop indexes for the entire service sector, which comprises over 70 percent of economic activity in the United States.

In the past, for the price indexes for the three on-going industries, the procedures for sample development and recycling as well as price data reporting have varied somewhat from the basic PPIR procedures. The central BLS office staff have communicated directly with data sources for their initiation into the samples and for monthly reporting. BLS Regional Offices have not been involved. Also, computer data bases have been maintained for each of the three industries.

It is anticipated that, to the extent practicable, service industry pricing systems will follow the basic PPIR procedures and will be merged with the APPRISE system (Automated Producer Prices and Price Indexes System for Economists). The rail freight indexes are being converted to APPRISE as of April 1985. The developmental plan for all services as applicable is to establish industry study files similar to those now maintained by the Branch of Durable Goods Industrial Price Indexes and the Branch of Non-Durable Goods Industrial Price Indexes.

Data sources for service industries include a mixture of Government (secondary sources) and direct collection from company sources. Railroad waybill data are obtained from other Government agencies (ICC and DOT) as well as directly from rail carriers. Telephone services data sources include state level (company/state) telephone company reporting units, AT&T, and the Federal Communications Commission. For postal service indexes, the U.S. Postal Service provides revenue and price data.



Future data sources, including those related to developmental systems, will continue to involve a mixture of reporting companies (establishments), centralized business sources (e.g., AT&T), and Government agencies.

#### GENERAL

170. Branch Administrative Subject Files. Consist of correspondence, internal reports, copies of administrative documents (e.g., travel authorizations), and reference papers. These materials concern internal housekeeping matters on such subjects as monthly progress reports, records holdings reports, overtime authorizations, staff travel, training, and confidentiality of Bureau records.

Retention Period. Break files every five years and bring forward active materials to the new files as required. Destroy when five years old.

171. Branch Correspondence Files. Consist of copies of correspondence signed by at higher echelons, together with (in some instances) incoming communications. Arranged by date. Record copies are filed at higher echelons.

Retention Period. Destroy when five years old.

\*172. Word Processing Media Files. Consist of word processing media (such as disks) containing drafts and/or final revisions of textual and tabular materials which are produced on paper, such as correspondence, mailing lists, administrative reports, and program documents.

Retention Period. Scratch when all essential information has been analyzed, tabulated, mailed, or issued.

\*173. Time and Attendance Files. Consist of Branch copies of time and attendance, leave and earnings, and related flexitime records pertaining to Branch employees. Official records are maintained in the central BLS Office of Administration. Such records appear to be covered by the Privacy Act.

Retention Period. Destroy when three years old.

\*174. Branch Current Indexes Program Subject Files. Consist of materials pertaining to the operation and background of the

on-going Service Industry Price Indexes Programs, such as those for rail freight, telephone, and postal services. They include materials prepared by the office staff such as analytical notes related to changes in the monthly price indexes, description of the samples, pricing methodology, telephone data schedule sources, and other background and reference information regarding the various service industry indexes not suitable for the industry study files.

Retention Period. Destroy when five years old or when no longer required for current business, whichever is later.

175. Service Industry Program Development Files. These files consist of project and background papers relating to developmental activities of the Branch Chief and Staff pertaining to potential new industries for coverage by the Service Industry Program. These activities may concern economic characteristics of industries, prospective data sources, and methodology for collecting data and computing price indexes. Contents may include documentation somewhat similar to the "Central Sample Development or Recycling Industry Study Files Including Pretest Records" for the Durable Goods and Non-Durable Goods Branches, as well as other analytical papers by the staff and reference materials. Copies of materials developed by study groups may be included. Approval of new programs will be included in files at higher echelons. Installation of new programs will be documented in BLS manuals or other procedural instructions. Materials pertaining to new programs which are installed are transferred to the "Industry Study Files for Service Industries." (Item 176)

Retention Period.

- a. Installed Programs. Upon installation, transfer materials to the "Industry Study Files for Service Industries" (Item 176).
- b. Other Programs. Destroy ten years after completion of study or when no longer needed for current business, whichever is later.

\*176. Industry Study Files for Service Industries. (Projected). These files are planned for the service industry price programs. They will consist of documents for newly installed programs transferred from the Service Industries Program Development Files. In addition, those files will include to the extent applicable materials of the types found in the records described as "Central Sample Development or Recycling Industry Study Files, Including Pretest Records" for the Durable Goods and Non-Durable Goods Branches (Item 123 of this Schedule). Further industry study documents or other materials

of that nature may be placed in these files for on-going programs such as pertaining to sample recycling, weighting, or other system changes.

Retention Period. Destroy materials pertaining to previous sample development or recycling when the replacement sample produces price data for publications involving the same industry. Avoid maintenance of duplicate documents in this file.

177. Service Industries Central Reference Files. A reference file of background documents related to service industries prices and price indexes, consisting of reports, theses, articles from periodicals, conference papers, etc. Documents concern such subjects as: "Current Status of Local (Telephone) Service Project," "On the Theory of Industrial Price Measurement: Output Price Indexes," "A Stage-of-Process Price Index Framework," "Productivity Policy and the Service Sector," "BLS Report of the Service Sector," "A Second Report of the Service Sector," "The Future of the Service Economy," and "Industry Definition SIC 3573, Electronic Computing Equipment." Some documents are from BLS internal sources, while others are from such sources as universities, professional journals, private research organizations, private consultants (economists), and the Council of Economic Advisers.

Retention Period. Review at least annually and destroy materials no longer needed.

#### RAIL FREIGHT PRICES FILES

\*178. Transportation Company Files. Consist of case folders for companies involved in or considered for participation in the transportation price indexes survey. Contents relate to the company's participation in the survey and include such materials as correspondence to and from the company, copies of selected reporting schedules, longhand notes, and the like. Arranged alphabetically by company name, this small file dates from 1981 to date. Contents are considered confidential as they would identify participants in the survey.

Retention Period. Destroy five years after the company goes out of business or when no longer needed for current business, whichever occurs first.

\*179. Transportation Price Indexes Subject Files. Consist of copies of correspondence with carriers and others, intra-BLS communications, computer printout listings, reference materials, articles from trade journals, work papers (e.g., longhand computations, worksheets, etc.), computer printouts, office procedures, copies of internal reports, and the like. Concerns such program and administrative matters as motor transportation sample listings, rail resampling matters, dropping items from the rail freight indexes, motor carrier statistics, railroad pricing officers, motor carrier index, training, computer costs projections, publicity, and mailing lists.

Retention Period. Break file every five years and bring active papers forward. Destroy when five years old.

\*180. Rail Freight Repricing Schedules. Consist of processed survey schedules received monthly from reporting companies that contain changes that have been entered in the data base. Schedule sheets include annotations by the PPI staff, as well as work sheets and other related notes. Upon conversion of the Transportation Price Indexes into the Automated Producer Price Index System for Economists (APPRISE), the record copy of the monthly schedules will be filed in the Office of Survey Processing (See Item 256), and convenience copies will be furnished by the Division of Industrial Prices and Price Indexes. Conversion to APPRISE is projected for CY 1985.

Retention Period.

- a. Record Copies. Except for APPRISE schedules, destroy schedules with no changes reported upon completion of monthly survey cycle. Schedules with changes should be destroyed when one year old or when no longer needed for current business, whichever occurs later.
- b. Apprise schedules. Record copies, see Item 256. Other copies, destroy when no longer needed for current business.

\*181. Waybill Reference Files. Consist of copies of waybills from the ICC Waybill Sample, which are used as reference materials in developing and maintaining the PPI Railroad Freight Rate Price Indexes sample of carriers and standard Transportation Commodity Codes groups. These documents have been received from ICC and are copies of documents received by that agency from carriers. They are considered confidential records.

Retention Period. Destroy when related sample of reporting companies becomes inactive and is replaced by an updated sample, or when no longer needed for current business, whichever is first.

\*182. Rail Freight Price Indexes Computer Files. The rail freight price indexes production data files, required to generate the monthly indexes, are maintained on disk and in mass storage at the central BLS computer facility.

Current pricing schedule data sets are maintained on disk and are updated by input (changes) data, keyboarded via the remote terminal network, from the monthly survey schedules. These data files are considered to be confidential.

The historical data sets, in mass storage, include such data as aggregated price data by Standard Transportation Commodity Code (STCC) group, and the computed price indexes by month. These data sets date from 1969 to date, although some publication groups started later than 1969. It is planned that the indexes which are issued in the monthly detailed BLS report "Producer Prices and Price Indexes," will be available in LABSTAT files.

Computer program documentation including such items as source or other programs and data dictionary files, as well as weighting factors, are maintained in disk files and hard copy printouts. Some inactive programs have been migrated to tapes. In addition, a hard copy user's guide is maintained for the office staff.

For security and back-up purposes, in accordance with the central computer facility policy, disk files are usually copied to tape twice weekly for possible disk regeneration if needed. After the current month pricing and index production cycle is completed, the contents are added to the historical data base in mass storage. Computer facility policy also provides that disk files not used within 45 days be migrated to tape. Tape files, may, in turn, be copied back to disk as needed. The migrated tape files are maintained indefinitely or until such time that the computer library recycles its tapes. Prior to recycling the tapes, the computer center would notify DIPPI to determine if the data should be preserved. Only then would the data be destroyed.

It is anticipated that these computer files will become inactive during FY 1985 as the Rail Freight Price Indexes data files are merged into the APPRISE computer files. (See Item 238 and 243), pertaining to the APPRISE and Aggregate computer files.

#### Retention Period.

- a. Historical Price Data Sets. After successful conversion to the APPRISE computer files, copy these files to magnetic tape and scratch mass storage files. The resulting tape files should be scratched

fifteen years after conversion or when all essential information has been analyzed, tabulated, or published, whichever occurs first.

- b. Current Pricing Schedule Data Files. Scratch when all essential information has been analyzed, tabulated, or published.
- c. Program Documentation Disk, Tape, and Hard Copy Files. Dispose of with related data files.
- d. Tape back-up files. Scratch whenever no longer needed for disk/mass storage/tape regeneration.

\*183. Rail Freight Prices Reference and Source Data Tapes. BLS obtains magnetic tapes containing reference and source data used in developing and updating the rail freight prices index sample of reporting companies and STCC groups and analyzing survey data. Both the Federal Government and the private business sector may be sources of such tapes which are considered confidential. These tapes are copied to other tapes stored at the central BLS storage facility.

Retention Period. Scratch when obsolete, superseded, or no longer needed for current business, as appropriate.

\*184. Rail Freight Prices Machine Listings. Consist of computer printouts of data related to the monthly surveys of rail freight prices such as inputted schedule data reported by the participating establishments (e.g., weight (tonnage) shipped, current month's prices and previous month's prices, and applicable surcharges), base rates, identification of applicable tariffs, aggregated prices, per cent of changes, and copy of resulting index tables. One set of printouts consists of commulative monthly price index tables for rail freight, which are updated monthly by receipt of a new printout to which has been added the latest month's indexes.

Data in the above printouts are also maintained in machine readable form in the computer data base (See Item 182, Rail Freight Price Indexes Computer Files) and will be stored in the APPRISE data base. The indexes are published in the monthly detailed report, "Producer Prices and Price Indexes Data for (Month and Year)," and will be available in LABSTAT after the database is converted to the APPRISE System.

As of this writing, the above printouts contain data related to 1969 to date.

Retention Period.

- a. Cummulative Monthly History Price Index Tables. Destroy when replaced by updated listings.
- b. Other Listings. Destroy when three years old or when all essential information has been analyzed, tabulated, or published, whichever occurs first.

**TELEPHONE SERVICE PRICE FILES**

\*185. Telephone Service Company Files. Consist of such reference and background materials as correspondence, work sheets, longhand notes, copies of tariffs price schedules, machine printouts, and other reference data maintained by the Division economists. Folders may be included for companies which provide data or which have been contacted or considered for inclusion in the sample of reporters. Not every economist keeps such files. These files are considered to be confidential.

Retention Period. Destroy when no longer needed for current business.

\*186. Telephone Service Price Schedules and Other Source Document Files. Since the telephone industry services have rates regulated at national and state levels, there are varied price data sources and reporting procedures. The economists maintain hard copy records of pricing schedules which are mailed by the Division to some nineteen reporting companies, who return them direct to the Division. Some data for interstate and international services are obtained by letter, or informal contact, and copied to worksheets, from such centralized sources at AT&T or FCC. Tariffs, rate tables, explanatory correspondence, and the like may be included. These files are considered to be confidential.

Retention Period.

- a. Schedules/Documents Reporting No Change. Destroy when monthly index production cycle is completed.
- b. Others. Destroy when superseded or when all essential information has been analyzed, tabulated, or published, as appropriate.

187. Telephone Services Price Indexes History Tables Printout. This file consists of a copy (computer printout) of the BLS Telephone Service Indexes by months since January 1972 to date with annual average indexes. As of this writing, the tables include a total of fourteen indexes covering local services, toll services, interstate private lines, and directory advertising. The listing is updated monthly by adding indexes resulting from the month's price data input. These time series data are maintained in computer storage (Item 188), and will later become available from LABSTAT.

Retention Period. Destroy when replaced by the next cumulative updated listing.

\*188. Telephone Service Indexes Disk-Tape Files. The economists of the Division have access via terminals to on-line disks maintained at the central BLS computer facility. They include on the disk data sets any machine-readable data needed to produce the telephone service indexes. Data sets include such data as base year price and weight data, current pricing and revenue data entered as the result of monthly repricing activity, and computed price indexes. These data sets date from 1972 to date. It is planned that the time series indexes will be available through LABSTAT, although not in LABSTAT files of this writing.

For security and back-up purposes, in accordance with computer facility policy, disk files are usually copied to tape twice weekly for possible disk regeneration if needed. Computer facility policy also provides that disk files not used within forty-five days be migrated to tape. Tape files may, in turn, be copied back to disk as needed. The migrated tape files are maintained until the computer library recycles its tapes. Prior to recycling the tapes, that library notifies the Division and a determination is made whether to scratch the migration tapes.

Also maintained on the disks and back-up tapes are computer program documentation including source and other programs needed to generate the various telephone service indexes.

It is anticipated that the telephone service indexes pricing data sets will be merged with the APPRISE system. (Item 238) in the near future.

The files that identify pricing data sources are considered to be confidential.



Retention Period.

- a. Disk Files. Destroy when information has been superseded, revised, or obsoleted, or when all information has been analyzed, tabulated, or published, as appropriate.
- b. Tape Files. Scratch when no longer needed for disk/tape regeneration.

\*189. Sample Development Reference Tapes. Consist of background telephone company source tapes for reference purposes in sample development. Included are such data as for WATS for example as: line types (full or measured service), numbers of lines direction (in only or both in-and-out calls), number of lines, total hours used, and the like. Separate sets of tapes are maintained - one for the current sample and one for sample development/revision reference purposes. Both sets have been received from telephone company sources. These files are considered to be confidential.

Retention Period. Scratch when superseded or when no longer needed for current business, as appropriate.

\*190. Telephone Prices Machine Listing Reference Copies. Consist of copies of machine printouts containing reference information such as: (1) the computed monthly indexes and percent changes which are published in the monthly BLS report, Producer Prices and Price Indexes Data; and (2) listings of such sample base data such as rates, revenue, and weights which are maintained in the computer files for index production calculations. These files are considered to be confidential.

Retention Period. Destroy when superseded or when no longer needed for current business, as appropriate.

## POSTAL SERVICE PRICE RECORDS

191. Postal Service Indexes Base of Prices and Weights Documentation Files. These hard copy records provide documentation of the base prices and weights used in computing the postal service price indexes. One group of these records relate to the current base of price and weights. Another group pertains to developmental activities to provide a revised, updated base. Each group consists of such materials as work sheets and computer listings containing price and weight data related to categories of postal service. The resulting base of price and weight data are entered into the computer data sets. The base will be revised as necessary to reflect service revisions. The price raw data (quantities and rates) are obtained from the U.S. Postal Service.

Retention Period. Destroy when installation of a replacement base has been completed or when no longer needed for current business, whichever is later.

192. Postal Service Index Base of Prices and Weights Background Files. Background reference files are maintained to supplement the Postal Services Base of Price and Weights Documentation Files (Item 191). The background files consist of such papers as drafts of internal analysis and research papers, economist work sheets, domestic mail rate tables, international mail rate tables, parcel post rate history tables, U.S. Postal Service instructions to Federal agencies regarding mail rates and practices, newspaper and journal clippings, and the like. Arranged by subject titles such as: Subsidies, U.S. Postal Service Revision Work, mail class folders, Fiscal Year Data 1972-78, 1972 Weight Diagrams, Drafts, and Postal Services News Clippings.

Retention Period. Review annually and destroy items no longer needed for current business.

193. Postal Price Indexes History Tables Printout. This file consists of a copy (computer printout) of the BLS Producer Prices Postal Service Indexes by month since January 1972 to date with related annual average indexes. The indexes pertain to Standard Industrial Classification 7-digit level and higher categories of service. The listing is updated monthly by adding the indexes resulting from that month's pricing data input. While these time series data are maintained in computer storage (Item 195), there are no plans to include them in LABSTAT files. This small file consists of less than ten pages of printout.

Retention Period.

- a. Record Copy. Permanent. Should the postal service price indexes be discontinued, the final cumulative listing will, within one year thereafter, be offered to the National Archives of the United States.
- b. Other Copies. Destroy when replaced by the next cumulative updated listing.

194. Postal Service Monthly Price Indexes Printout Listings. Consist of computer printout listings of final monthly "Producer Prices Indexes and Percent Changes for Postal Services" which are issued as a table in the BLS monthly detailed report, Producer Prices and Price Index Data. These data are also maintained in computer files (Item 195).

Retention Period. Destroy when no longer needed for current business.

195. Postal Service Price Indexes Computer Files. At the central BLS computer facility, Postal Service Indexes data sets and related program documentation are maintained in disk storage. Data entry is ordinarily via Remote Terminal Network from terminals in the Division of Industrial Prices and Price Indexes.

Base data sets consist of such elements as SIC codes, titles, and base revenues and weights for each SIC grouping. Input data entry sets include quantity and rate date received from the U.S. Postal Service, with analytical comments related to SIC groupings. In addition, the monthly price index and percent change tables and the historical indexes are maintained. The indexes hard copy printouts are covered in Items 193 and 194.

Computer program documentation are maintained in disk storage, including source, index calculation, and table production programs, and the like. In addition, a hard copy user's guide is maintained in the Division.

For security and back-up purposes, disk contents are usually copied to tape twice weekly for possible disk regeneration if needed. Computer facility policy provides for migration to tape of disk files not used in a forty-five day period. Tape files may, in turn, be copied back to disk as needed. The migrated tape files are maintained indefinitely or until such time that the computer library recycles its tapes. Prior to recycling the tapes, the computer facility would notify the Division to determine if the data should be destroyed. Only then would the data be scratched.

Retention Period.

- a. Base Data Sets. When replaced by an updated base, copy to tape. Scratch the tape when replaced by a subsequent updated base or when all essential information has been analyzed, tabulated, or published, as appropriate.
- b. Other data sets. Scratch when all essential information has been analyzed, tabulated, or published.
- c. Program Documentation Disk, Tape, and Hard Copy Files. Dispose of with related data files.
- d. Tape back-up files. Scratch when no longer needed for disk/tape regeneration.

RECORDS COMMON TO ALL BRANCH OF SERVICE INDUSTRY PRICES OFFICES

\*196. Intermediate Printouts, Job Runs, Worksheets. In carrying out the Service Industry Price Program, economists or other program personnel obtain various intermediate printouts, job runs, or worksheets as part of the computer processing of the price indexes issued by the Division. These machine-produced listings can involve such initiation or repricing operations in the index production cycle as developing and maintaining the sample registers of reporting companies and the related information on services to be priced; collecting, analyzing, and tabulating the pricing data on a monthly basis; calculating preliminary or final indexes; and formatting final index data for press release to the public. Also involved are listings concerning answering of requests for information, special runs, runs involving developing the various computer systems involved or in improving the processing methodology, and the like. Such listings in this item are not covered by any other items of the Service Industry Price Programs of the Schedule listed above.

Retention Period. Destroy when essential information has been analyzed, tabulated, or published, or when superseded or made obsolete, as appropriate.

197. Technical Reference/Working Files. These are extra copies, printed materials, working papers, copies of instructional manuals, and the like which are maintained by the economists or other program personnel of the Division concerned with the Service Industry Price Program covering their assigned areas of work as well as computerized operations and statistical procedures and methodology.

Retention Period. Destroy when superseded, no longer needed for current business, or when made obsolete, as appropriate.

198. Intermediate Machine Processing Files. Consist of processing tape or disk files of the Service Industry Price Program as defined by General Records Schedule 20, such as work files, test files, input source files, intermediate input/output files, valid transaction files, and the like covering machine readable records not specifically listed under the Schedule items above for the Service Industry Price Program. (See page 179 of this Schedule.)

Retention Period. Apply the retention periods of GRS 20 - Part I, Items 1 through 14, as applicable.

OFFICE OF SURVEY PROCESSING  
DIVISION OF INDUSTRIAL PRICES AND INDUSTRIAL RELATIONS (IPIR)  
OFFICE OF THE PROJECT MANAGER

\*199. Project Manager Administrative Subject Files. The Project Manager of Industrial Prices and Industrial Relations maintains voluminous administrative records reflecting the internal operations of his Division. These are convenience copies centralized at the Division level, as the record copy of such administrative records is maintained by the Central Office of Administration of BLS.

The file is split physically. Part is in three-ring binders on shelving, and part is maintained in folders in lateral files.

The file covers such internal operational subject matter as personnel, training, contractor invoices, performance appraisals, travel, bus tokens, awards, cost accounting for terminals or computers, monthly computer billings of NIH and OSD, facility request forms, supply requisitions, computer access codes, accident and health claims, time and attendance reporting, flexitime accounting, and the like.

Personnel name files, time and attendance, and performance appraisal files would be considered to be under the Privacy Act.

Retention Period. Break file every five years, and bring forward active materials. Destroy when five years old or when no longer needed for current business, whichever is sooner.

- Except:
- (1) Flexitime records. Destroy when three years old.
  - (2) Personnel name files and performance appraisals. Destroy one year after transfer or separation of employee.
  - (3) Bi-weekly time and attendance files. Destroy when three years old.

200. Project Manager Program Subject Files. The file is primarily in folders and consists principally of various types of progress or status reports made to Mr. Kirsch from his Division Branch Chiefs or supervisors. Included among such reports, both computer and manually prepared, are such reports as: monthly progress reports involving Office of Survey Processing operations; internal IPIR monthly progress reports; Monthly

Frame/Sample Refinement reports; PPIR monthly system status reports such as number of returned schedule reports by SIC, problem solution summary reports, and prices returned listing reports; IPP monthly progress-status reports such as project review notes or ARTS System progress reports; monthly PPIR item status reports; and the like.

In addition to reports, the file also contains convenience copies of data dictionaries, management group meeting records, Development Committee meeting records, work scheduling records, and other program direction records as required involving development, design, and operation of computerized systems for generating producer or international price indexes.

Retention Period. Break file every five years and bring forward active materials to new files as required. Destroy when ten years old or when no longer needed for current business, whichever is sooner, except that no monthly computer-prepared progress report should be maintained for more than three years.

201. Division Correspondence Files. Consist of Division copies of internal memoranda and other correspondence, including both incoming and outgoing communications, filed chronologically, covering both program and administrative matters.

Retention Period. Destroy when five years old.

202. Former Project Manager Administrative/Program Subject File. The file consists of a mixed program and administrative subject file maintained by the former Project Manager, Carl Lowe. It contains correspondence, drafts, reports, notes, and related records covering such subjects as: the seasonal adjustment system of the PPIR, walk-through report on various subsystems, the quality control system, the estimation system, various production problems, personnel-recruiting, orientation procedures, training in computerized operations, performance standards, budget-positions, reliability testing, contracts, various progress reports, and the like.

Retention Period. Bring active materials forward to files of current Project Manager. Destroy remainder as of date of approval of this Schedule.

203. BLS Staff Utilization System Bi-Weekly Reports. Consist of hanging binders containing bi-weekly computer-prepared BLS staff utilization reports prepared as part of the central BLS personnel utilization system (MIS), arranged by date.

Retention Period. Destroy when two years old.

204. Central Division Reference File. Consists of copies of computer periodicals and PPIR related materials including such periodicals as Computer Decisions, Computer World, Datamation, and NIH Interface, as well as copies of such industry study outputs as industry checklists, industry synopses, Translator Data for Samples 1-13, and various manuals such as LABSTAT Series Directories and the like.

Retention Period. Review file annually to destroy obsoleted materials or materials no longer needed for current business.



**OFFICE OF SURVEY PROCESSING**  
**DIVISION OF INDUSTRIAL PRICES AND INDUSTRIAL RELATIONS**  
**PLANNING AND PROCEDURES BRANCH**

**BRANCH LEVEL FILES**

\*205. Branch Administrative - Program Subject Files. A small file is maintained at the Branch level covering personnel name folders, flexitime records, other time and attendance files; and various supervisory management records, such as Branch Chief copies of various progress report listings, extra copies of correspondence, and other program or administrative files, as needed.

Retention Period. Destroy when no longer needed for current business, except that (1) Inactive personnel folders shall be destroyed one year after separation or transfer of employee, and (2) flexitime logs and time and attendance records shall be destroyed when three years old.

\*206. Word Processing Media Files. The files consist of a large disk of a Lanier Word Processing System used primarily in the Planning and Procedures Branch, but with terminals in other IPIR offices, as well as floppy disks used to store the text of individual issuances. Each analyst is assigned a segment of the main system disk as his working space, and in many instances, the text of a finished issuance is included in this segment. Analysts frequently transfer the final text from their working segment of the large disk to floppy disks maintained at their desks. In addition, two sets of back-up disks are maintained for weekly dumps of the main Lanier disk contents for security purposes.

The word processing media files are used for initial reproduction of an issuance and are revised as required to facilitate preparation of changes to issuances. The system is also used for preparation of correspondence, forms, checklists, newsletters, and industry synopses, and the like.

Retention Period. Scratch when obsoleted or when no longer needed for current business, as appropriate.

\*207. Program/Administrative Subject Files at Team and Subordinate Supervisory Levels. Depending on the individual supervisors, varying volumes of administrative and program records are maintained covering: work scheduling, reporting on work progress in accordance with PAC II or other workload

measurement systems, time and attendance or flexitime, personnel related matters, and other internal housekeeping matters as required, as well as records pertaining to assigned areas of work such as planning, progress reporting, procedure and forms development and issuance, and refinement of sample frames/clusters and establishment samples.

Retention Period. Destroy when no longer needed for current business or when three years old, whichever is sooner.

**PPIR PROCEDURE AND FORMS DEVELOPMENT TEAMS FILES**  
**(BEFORE LOG-IN - AFTER LOG-IN)**

Two teams have been established in the Planning and Procedures Branch to be responsible for the development and maintenance of procedure manuals, technical memoranda, internal procedures, and related form records involved with the generation of producer price indexes. The work of the two teams is divided on the basis of coverage before log-in of reported information from establishments into the PPIR System, and after log-in of reported producer price information including the APPRISE system.

The Before Log-in Team is presently composed of a team leader and some fourteen people. It is divided into two groups, each under a supervisor. One group, under a Check List-Procedure Coordinator, consists of Procedure Analysts responsible for the final issuance of product-transaction checklists and industry synopses based on drafts obtained from DIPPI Industry Analysts as well as related manuals and other procedural issuances.

The other group, under a Frame-Cluster Refinement Coordinator, consists of Statistical Assistants responsible for the initial listing of sample frames for particular industries being recycled from the Bureau's Universe Unemployment Insurance File or other sources, for refining the frames and clustering establishments as needed, and in cooperation with the Statistical Methods Division of DIPPI, refining the selected industry sample and inputting the data into the sample system data base.

The other team, After Log-in, consists presently of a team leader and some three Procedure Analysts. It is responsible for the issuance of many of the documentary procedure manuals covering the PPIR system such as the APPRISE Manuals for Supervisors, for Industry Analysts, and the Manual for Statistical Assistants; the Define and Enter Manual; the DSS Collection Manual; various technical memoranda and internal procedures; and for designing and ensuring the availability of the Repricing Form, some 90,000 of which will eventually be mailed out monthly.

208. Record Copy of PPIR Methodological Directives - Manuals. The file consists of the record copy sets of the various types of PPIR methodological and procedural issuances such as: (1) detailed procedure manuals covering headquarters and regional procedures in collecting, reviewing, and analyzing producer price data, and generating required indexes; (2) technical memorandums issued to cover specific procedural problems involving headquarters and regional operations; and (3) internal memorandums covering headquarters units operations. The Planning and Procedures Branch of IPIR is responsible for the documentation and generation of these directives to provide for uniformity in the operations concerned with issuance of PPIR indexes involving two Divisions of the Office of Prices and Living Conditions, the Division of Industrial Prices and Industrial Relations of the Office of Survey Processing, and the Office of Field Operations, as well as the eight BLS Regional Offices.

The detailed manual series provides the primary vehicle for documenting PPIR methodology and includes such manuals as: The APPRISE System reference Manual for Industry Analysts, the APPRISE Manual for Supervisors, and the APPRISE Manual for Statistical Assistants; the PPIR Frame and Sample Revision Manual; the PPIR Data Collection Manual; the Collection System Reference Manual for Statistical Assistants; the Users Manual for the Define and Enter System; and many other smaller manuals. Each manual has its own revision system, and the record copy set includes copies of the various revisions issued as needed. The manuals total about three cubic feet, while only a few binders are required to house the PPIR miscellaneous technical memorandums or internal issuances.

The manuals are arranged basically alphabetically by title, while other directives are basically chronologically arranged. Manuals and other issuances date from 1978 to the present. Accretion is negligible.

Retention Period.

- a. Record copy of each type of issuance. Permanent. Offer for transfer to the Archives of the United States in five-year blocks when the most recent record is twenty years old.
- b. All other copies. Destroy when no longer needed for current business.

209. Record Copy of 4-Digit SIC Industry Product-Transaction Checklists - Industry Synopses and Related Collection Forms.

Under the PPIR System, two detailed descriptive documents prepared during an Industry Study are transmitted to the Regional Offices to facilitate the initial collection of price quotes from sampled establishments of a particular 4-digit SIC Industry during the Regional Representative's initial interview of the reporter(s) of an establishment. These formatted documents (the product and transaction checklists and the industry synopsis) are prepared on a word processing system by the Branch and are distributed to the Regional Offices through the Office of Field Operations.

The product checklist form is tailored to fit pricing of specific products of a particular 4-digit industry and serves to guide the interviewer in identifying the specific products of an establishment being priced, and to record such information.

The transaction checklist identifies the details of a particular transaction being priced. The Industry Synopsis Statement provides a summary description of the industry concerned, its pricing procedures, its operating methods, and the like to guide the Regional Representative during interviews with reporters of a particular industry.

These industry-oriented documents serve, in effect, as detailed methodological guides in the PPIR system to ensure consistency of reporting for each industry by Regional Representatives from eight BLS regions, and they reflect the detailed information originally inputted into the automated PPIR System for generating some 488 industry-product price indexes.

In addition to these industry-oriented documents, the record copy of universal-type reporting forms usable for any industry is also maintained in this file. Such forms include face sheets, repricing schedules, disaggregation work sheets, comment forms, and the like.

This file consists of a record copy of each industry synopsis prepared as well as a record copy of each blank checklist or other related form.

The file is maintained in binders by SIC numbers and dates from 1978 to date. During recycling of the sample for each industry, revisions are made to the checklists and industry synopses.

Retention Period.

- a. Record copy set. Permanent. Offer for transfer to the Archives of the United States in five-year blocks when the most recent record is twenty years old.

- b. Other copies. Destroy when no longer needed for current business.

210. Record Copy of PPIR Newsletters. Two newsletters are currently published and distributed by the Branch. One newsletter, PPI Newsletter, is issued quarterly. It provides up-to-date information to the various headquarters offices and the Regional Offices on plans for improvement, proposed or actual systems changes, and the like involving all aspects of generating and issuing producer prices and price indexes. This newsletter dates from 1978 to date, and the record copy is maintained chronologically in a binder.

At the time of this writing, a monthly specialized newsletter, "APPRISE Surprise," has been started to provide up-to-date information on the operation of and the procedures involved in the recently installed APPRISE System for repricing and estimation activities. The record copy dates from 1985 and is maintained in a binder.

Retention Period.

- a. Record copy. Permanent. Offer for transfer to the Archives of the United States in blocks of fifteen years when the latest record is fifteen years old.
- b. All other copies. Destroy when no longer needed for current business.

211. Project - Work Files for PPIR Manual or Other Issuance Development. The files consist of background materials on the various procedures or systems, statements of requirements, various drafts or versions of the manuals and comments and suggestions of reviewers, and materials covering the reproduction and distribution of the manuals, technical memoranda, or internal procedure issuances.

In connection with project reporting systems, certain analysts maintain project files on each assignment, but keep separate from project files such working materials as bulky drafts and other background or reference materials.

Retention Period.

- a. Manuals - Directives that are issued. Destroy one year after issuance or when no longer needed for current business, as appropriate.

- b. Manual - Directives not issued. Destroy when obsoleted or when no longer needed for current business, as appropriate.

212. Project - Work Files on Publication of Checklists - Industry Synopses. The file consists of typed manuscript copies of the various industry product - transaction checklists and industry synopses, readied for reproduction by the team analysts, as well as some earlier versions, clearance documents or sign off sheets, and the like. Drafts of these collection documents are received from the industry analysts of DIPPI. As assigned, team members review the drafts and prepare final manuscripts for reproduction and issuance to Regional Offices for initiation interviews of establishments during sample generation or recycling. The Lanier Word Processor is used for document preparation. All documents except final sign-off sheets are included in the DIPPI industry study files (Item No. 123).

Retention Period. Destroy when three years old or when no longer needed for current business, whichever is sooner.

213. Before Log-In Special Progress Reporting System Files. The Check-List Coordinator and her analysts maintain a special weekly and quarterly progress reporting system on the status of completion of checklists and industry synopses from the time the drafts are received from DIPPI analysts until they are readied for issuance to the Regions through OFO. Weekly and quarterly progress report listing sheets are generated from a small data set for this system maintained at the Central Bureau Computer Facility. Listing sheets reflecting input of data are also maintained.

Retention Period. Destroy when superseded or when no longer needed for current business, as appropriate.

\*214. Final Sample Frame/Cluster, and Sample Refinement Project Files. After completion of the refinement of the sample frame-cluster, and the sample selection refinement process, the Team maintains a project record covering the actions taken during the refinement process. A separate folder is maintained for each 4-digit SIC industry involved in a sample segment development or recycling operation. Included in each folder are such documents as: any related correspondence; sign-off forms of SMD, IPIR, DIPPI, or OFO in approving the sample; cluster forms reflecting the grouping of various subordinate units of a particular establishment; coding sheets used in inputting the sample data into the sample data base; and the like. The file covers sample Segments 8 - through present recycling operations, and is arranged by segment number and SIC number thereunder. Prior segment records are in Statistical Methods Division (see Item 273).

Retention Period. Destroy folder for a SIC after recycling has taken place and publication of results has commenced.

\*215. Listing Sheets - Microfiche of Final Sample Frame/Cluster - Final Sample Refinement. Listing sheets or microfiche reflect the final data on the SIC industry frames-samples grouped within a particular sample segment, maintained in the sample data base. The file covers, at the time of this writing, the final frame-sample data for Sample Segments 1-21, and will build in the future for Segments 22 on as recycling continues.

The file consists of machine listing sheets for the twenty or more 4-digit SIC industry samples contained in each segment of Segments 1-3. For sample Segments 4-17, microfiche of the data base contents were prepared for this file. For Segment 18 on, listing sheets are again the media for this file of final industry sample frames and sampled establishments.

Retention Period. Destroy when superseded or when no longer needed for current business, as appropriate.

\*216. Preliminary Data Sets - Listing Sheets in Frame-Sample Refinement. During the process of developing and refining final sample frame-clusters and final sample selections, many intermediate steps are undertaken in cooperation with SMD and DIPPI. Starting with pre-refinement steps, selected SIC listing sheets are obtained from the UI Universe file and other listings as available, various drafts of frame-cluster listings are obtained and reviewed, as well as preliminary data sets reflecting the frame-cluster development and refinement, until the final frame is entered into sample data base.

After final frame is selected for an industry, working with SMD, DIPPI, and OFO, the appropriate number of establishments are selected, entered into data sets, and reviewed and refined until final sample selection for the industry is generated and entered into the sample data base.

Retention Period.

- a. Preliminary Listing Sheets. Destroy as superseded, until final listings are obtained.
- b. Preliminary Data Sets. Scratch as superseded, until final entries are made into the sample data base.

## PLANNING TEAM FILES

The Planning Team of the Branch, presently consisting of a team leader and two employees, is responsible for the utilization and maintenance of the PAC II Automated Planning and Progress Reporting System covering the various IPP and PPI projects within the Division of Industrial Prices and Industrial Relations (IPIR). This off-the-shelf system provides for the application of computerized techniques to automate IPIR project planning and goal setting as well as project management and progress reporting. It is presently applied to some thirty on-going IPP and PPI projects throughout IPIR.

Using computer simulation techniques, various alternative approaches are explored during the planning phase of a project to develop the most effective approach to reach stated project goals, as well as setting milestones and expected completion dates for a schedule of steps required to complete a project.

Required descriptive data on projects are entered into the appropriate IPP or PPI PAC II data bases, and weekly progress reports are inputted into the data bases covering the status of the project in relation to its scheduled completion. Listing sheets are obtained weekly reflecting such input operations.

Weekly machine listing sheet management reports are generated by the system to acquaint management levels throughout IPIR of the status of each on-going project and the need for adjustments required to attain goals in accordance with schedules.

The Planning Team is also presently working on a project covering the feasibility of installing automated quality control mechanisms throughout IPIR to ensure that effective and efficient procedures have been adopted in generating producer price and international price indexes.

217. PAC II System Data Bases. The PAC II Automated Planning and Progress Reporting System for IPIR projects maintains two data bases on a private disk at the central BLS computer facility. One data base contains project descriptive data, project planning data, and data on the status of planned completion of IPP projects, and the other data base contains similar data on PPIR projects. Data on both active and inactive projects are included in the data bases, as well as PAC II programs required to administer the system. Inactive project data are not included on system report printouts.

During system runs, data base sets are transferred to another disk for security back-up purposes.



At the time of this writing, data on some thirty active projects were included on these data bases.

Retention Period.

- a. Data Files. Scratch inactive project data three years after a project becomes inactive or when no longer needed for current business, whichever is sooner.
- b. Program Files. Scratch programs when no longer needed for current business.

218. PAC II System Input Data Sets, and Related Listing Sheets. Data involved in the PAC II system, whether inputted weekly if progress reports or on an ad hoc basis for planning simulation and the like, are maintained as intermediate data sets on disks at the central BLS Computer Facility. As required, listing sheets reflecting the terminal inputting of data are obtained and reviewed to ensure accuracy of input operations. Appropriate data are entered into PAC II data bases from the intermediate data sets.

Retention Period. Purge intermediate data sets once a month and destroy input listing sheets after successful entry into the data sets.

219. PAC II System Management Report Machine Listing Sheets. The PAC II System produces several weekly management project status reports as well as ad hoc reports on planning projects and the like, as required. The weekly project status reports in the form of machine listing sheets include executive summary reports for the Division Chief, individual resource reports on personnel utilization for supervisors and team leaders, individual project status reports such as critical path reports for project leaders, and such other reports as may be needed.

Reports concerning on-going projects are structured to include data from the time the project was entered into the system together with the latest week's up-date information.

The input for these reports consists of weekly input-turn-around listing sheets from personnel covered by the system.

Retention Period. Destroy when superseded or when no longer needed for current business, as appropriate.

220. Quality Control or other Procedural Project Files. The Planning Team is presently beginning a project, in cooperation with the Quality Assurance Staff of DIPPI, regarding the feasibility of establishing quality controls covering various IPIR operations. Records on such a project could include reference and background materials, reported information on operational procedures, data sets covering analytical determinations, drafts, and comments, machine listing sheets reflecting input or output of data sets, preliminary and final reports, and the like.

Other procedural projects of a similar nature may be undertaken as required.

Retention Period. Upon completion or abandonment of such procedural projects, destroy immediately background, materials, drafts, preliminary listings, or other tabular records. Destroy final report or system development materials when no longer needed for current business.

**OFFICE OF SURVEY PROCESSING**  
**DIVISION OF INDUSTRIAL PRICES AND INDUSTRIAL RELATIONS**  
**PRODUCER PRICE INDEX/REVISION, SYSTEMS SERVICE STAFFS**

The Systems Service Staffs (Branches) of the support Division of Industrial Prices and Industrial Relations (IPIR), Office of Survey Processing concerned with the Producer Price Indexes Program are responsible for such activities as: (1) designing and documenting the computerized systems and subsystems required for generating producer price indexes; (2) preparing and updating the various computer programs involved in maintaining and operating the data bases required by the Program; (3) monitoring the operations of the system components and data bases and installing improvements and revisions as required; and (4) working cooperatively with other BLS organizational units concerned with the producer price indexes such as other elements of IPIR, DIPPI, the Statistical Methods Division, and the Office of Field Operations and Regional Offices, to ensure the effectiveness of the PPIR System computerized operations.

Organizationally, five separate teams involving three Branches (Staffs) of the Division are engaged in providing these computerized services for the Producer Price Indexes Program. The work is allocated among the five teams in accordance with the particular data bases or system components for which each team has responsibility as follows:

(1) The Sample System Team is responsible for the PPIR Sample System Data Base. This data base provides the periodically updated industry sample registers of establishments required to obtain initial pricing and monthly repricing reports from the establishments of each of the 488 manufacturing and mining industries and the various service industries involved in generating the revised producer price indexes.

(2) The PPI, Collection, and Production Support Team is responsible for the computerized systems involved with the traditional PPI (former Wholesale Price) Data Base, the PPIR Collection Data Base, and the OCR optical scanner input system of the PPIR. The PPI Data Base, which is now being gradually phased out, generates producer price indexes in accordance with the traditional commodity-oriented estimation procedures rather than the present industry-based procedures. The PPIR Collection Data Base provides for the initial recording of reported product prices and specifications from sampled establishments obtained by BLS Regions during sample segment development or recycling, or for recording reported revisions to such base pricing data. Such data are released from the Collection Data Base to the APPRISE Data Base or to the Estimation System, as appropriate. The OCR scanner data sets are involved in inputting reported monthly repricing product prices from sampled establishments into the APPRISE Data Base.

(3) The APPRISE team is responsible for the computerized systems involved with the APPRISE Data Base. The APPRISE Data Base is the medium for recording initial base pricing information released from the Collection Data Base as well as for recording the some 90,000 monthly product repricing reports received from sampled establishments of each industry.

(4) The PPIR Item/Cell Team is responsible for maintaining two segments of the PPIR Estimation System, the PPIR Weight Data Base, and the PPIR Item Data Base, as well as certain internal systems control data. The Weight Data Base contains the required establishment weight data used in the calculation of item weight. The PPIR Item Data Base holds item to cell mappings, weights, and related product pricing data for calculating the producer price indexes.

(5) The PPIR Define and Enter and Aggregate Team is responsible for maintaining the Aggregate Data Base of the Estimation System, the Define and Enter Sub-system Data Base, and the published and unpublished Producer Price Index subfile tapes. The Aggregate Data Base provides the hierarchical tree structures, weight, and index data required to generate monthly producer price indexes and maintains the time-series index data for the historical producer price indexes. This Data Base also serves as a source for the generation of PPIR time series data used to create the published and unpublished Producer Price Index subfile tapes.

The interactive computer Define and Enter System Data Base allows DIPPI Industry Analysts when conducting industry studies to enter industry product aggregation tree data (hierarchical SIC levels from one to nine levels of classification) into the Define and Enter System Data Base. This will be transferred to the Aggregate Data Base, calculate indexes, and produce the structured index tables for PPIR index publications.

These above listed data bases and related files of the PPIR system are primarily maintained on disk files at the central BLS computer facility, with periodic disk-to-tape back-ups being made for security purposes.

The System Service Staff teams, in addition to these above listed computerized files, also maintain such other types of records as: physical and logical data dictionaries and other system documentation files, computer program tape and machine listing sheet library and related files, as well as system development or design files involving the original design and possible revision of the various PPIR systems and sub-systems to ensure efficiency of operations, and the like.

## BRANCH CHIEF AND TEAM LEADER LEVEL RECORDS

221. PPIR/PPI System Service Branch Chiefs Administrative and Program Subject Files. These files for the Branch Chiefs of the Producer Price Index Revision Systems Service Branches consist of documents on both internal housekeeping and program subjects such as personnel, production reports, periodic progress reports, computer utilization, equipment costs, other equipment matters, internal procedures, staff meetings, and the like.

Retention Period. Break files every three years and bring forward active materials to new files as required. Destroy other materials when six years old or when no longer needed for current business, whichever is sooner.

222. Contracting Officer Technical Representative (COTR) Convenience Files. A Branch Chief or Team Leader may serve as a COTR with a contractor(s) who provides service to the Bureau. The COTR may maintain convenience files that may contain copies of correspondence; copies of invoices received, reviewed, and sent to the BLS contracting officer in the Bureau's Division of Administrative Services, and the Bureau's Division of Financial Planning and Management for payment; and related materials. Record files are maintained at higher echelon offices.

Retention Period. Destroy upon termination or completion of the contract or when no longer needed for current business, whichever is later. If action is pending on a completed/terminated contract, destroy after completion of the action.

\*223. Time and Attendance Files. Consist of Branch copies of time and attendance, leave and earnings, and related flexitime records pertaining to employees of the Branches of PPIR Systems Service. Official records are maintained at the central BLS Office of Administration. Such records appear to be covered by the Privacy Act.

Retention Period. Destroy when three years old.

224. Word Processing Media Files. Word processing storage media such as diskettes and processor central memory used in preparation of documents such as correspondence as well as textual material for reports or other presentations like papers for meetings, etc.

Retention Period. Scratch after all essential information has been analyzed, tabulated, or presented in document form.

225. Team Leader Program and Administrative Subject and Listing Sheet Files. Team Leaders, as principal supervisors of their respective system analysts, programmers, technicians, and other personnel, maintain small administrative and program files related to procedures followed, personnel matters, and the status of work. These files include such documents as extra copies of internal correspondence, production problem reports, progress reports, related machine listings, logs of system access violations, extra copies of personnel evaluations, team instructions, printed reference materials, and the like.

Retention Period.

- a. Program and Administrative Files. Destroy when five years old or when no longer needed for current business, whichever occurs sooner.
- b. Machine Listing Sheets. Destroy when superseded, or when no longer needed for current business.

226. Data Dictionaries and Other System Documentation Files. Data dictionaries and related system documentation files serve as the principal end products for documenting the System Service Staffs' (Branches) systems design work in support of the Producer Prices Program. There are two types of these computer-prepared listings: the logical or analysis of requirements and dictionary listings, and the physical or detailed design dictionary listings. Such files are normally maintained under the supervision of a Team Leader.

The logical or analysis package describes the processes involved in the entire system, whether automated or manual. It provides an explanation of system processes in summary fashion and is primarily used by system designers to explain to Division of Industrial Prices and Price Indexes or other requesters what a system will entail. In addition to the analysis of requirements dictionary listings, such an analysis package can include manual or machine-prepared diagram statements such as data flow, data structure, or data production diagrams, as well as record layout statements, and the like. A user's guide for the system design staff may also be included.

The physical or design package provides detailed specifics as to the various steps involved in a proposed system. It is more of an internal development tool used by designers to understand the system and identify computer programs to be developed to implement/modify the system. In addition to the physical dictionary listings, such a design package can include various supplemental statements such as system flow charts at the program

level, data base design charts, machine test diagrams, and the like.

Such data dictionaries and related system documentation files are basic for achieving an understanding of a respective system and its data base. The record copy of the listings and related materials are grouped by the two types of packages. The files comprise about seven cubic feet and accretion is negligible. The dates of the records cover 1978 to date, and the files are primarily arranged by data base concerned.

Temporary data sets are maintained at the central BLS computer facility for generating the dictionary listings. As required, revisions to programs are entered in the appropriate data dictionary files.

Retention Period.

- a. Documentary materials. Permanent. Offer for transfer to the Archives of the United States in blocks of ten years when the most recent record is twenty years old.
- b. Temporary data sets. Scratch when no longer needed for current business.

227. Computer Program Library and Related Files. Program library files are maintained on disk, tape, or mass storage at the central Bureau computer facility for the various systems required to support the Producer Prices Program. These files include such programs as source, object, load, index calculations, library, and the like.

In addition to the program files in machine-readable format at the central Bureau computer facility, IPIR offices maintain hard copy machine listing files of the programs comprising the library.

Similar listing sheet files and data sets are maintained for job control language statements and procedures used to submit jobs related to daily and monthly production.

Retention Period. Destroy when superseded or when no longer needed for current business, as appropriate.

\*228. COM Microfiche Reference Files. For convenience of reference, the IPIR Branches that support the Producer Prices Program receive computer output microfiche (COM) versions of selected PPIR index data and other data sets maintained in machine-readable form at the BLS central computer facility. This small file includes such machine listings as the Price Review

Listings, Reporter Address Listings, Detailed Cell Listings, Index Analysis Listings, Historical Subfile Time Series tables, and the like. Most COM listings are received periodically, but some may be received as requested.

Retention Period. Destroy when three years old or when no longer needed for current business, as appropriate.

### PRODUCER PRICES PROGRAM DATA BASES AND OTHER FILES

\*229. PPIR Sample System Data Base Files. The sample data base files maintained under the TOTAL data base management system provides the computerized documentation and processing capabilities for the industry establishment samples for the PPIR starting with Sample Segment 22, the first of the recycling sample segments. When sample recycling is completed, the frames and samples for all 488 manufacturing and mining industries as well as for the newly-activated service industries will be included in this disk data base.

The data base is comprised of such files as the Cluster-Headquarters File, the Establishment File, the Sample Unit Information File, the Match-Name File, the State File, SIC Industry File, and the Multi-SIC Company File, as well as the Establishment Index File, and the Sample Unit Index File. At present, some 400,000 records are included in the data base, maintained on some 4,500 tracks of a private disk at the Central BLS computer facility.

The data base is updated every quarter to provide for revisions obtained from an input tape comprising various changes in establishments of the samples reflected by the operations of the collection and repricing systems files. In addition, annual revisions are inputted into the data base by a tape reflecting changes in sample establishments reflected by operations of the BLS Unemployment Insurance (Universe Management System) files.

New establishment data are inputted into the data base during industry sample recycling by the Sample Frame-Cluster Refinement Group of the Planning and Procedures Branch, OSP.

For security or back-up purposes, the contents of the data base are dumped periodically onto tape twice a week.

#### Retention Period.

- a. Disk Data Base Files. Scratch when all essential information has been tabulated or analyzed, or when no longer needed for current business, as appropriate.



- b. Tape Back-up Files. Scratch when one month old.
- c. Revision, input tapes. Scratch after successful input into data base and update transaction file.

\*230. Revision Sample Unit Machine Readable File. The Revision Sample Unit file is a data set maintained on disk and in mass storage providing computerized documentation of the industry establishments sampled for the PPIR covering Sample Segments 1-21. Establishments covering some 488 mining and manufacturing industries were included in the first file of sampled establishments under the PPIR system.

The file is updated periodically to reflect changes in the establishments of the various samples. Prior to the recycling of an industry sample, the file is run to provide personnel with listing sheets reflecting the status of the previous sampled establishments for an industry.

The file is backed-up periodically to tape for security purposes.

Retention Period.

- a. Main File. Scratch previous industry sample establishment records after recycling is completed for the particular industries of a sample segment.
- b. Back-up Files. Scratch when superseded by later back-up.

\*231. Sample System Update Transaction Machine Readable Files. Consist of data on disk and tape as appropriate reflecting the contents of the various update transaction job runs made against the PPIR sample data base system. This file serves quality assurance and control purposes by documenting the job runs made in updating or revising the sample system data base, and serves as a transaction audit trail.

The disk file is backed-up periodically for security purposes. As required, listing sheets reflecting file status may be generated.

Retention Period. Scratch machine-readable files and destroy listings when no longer needed for current business.

232. Sample System Job Log Machine Readable File. The job log file complements the update transaction file in identifying the various job runs made against the sample system data base. It provides such information as the date and time when entered, time when finished (unless the run was aborted), identification of the analyst involved, and the like. This small disk file is backed-up periodically for security purposes, and serves as a system control or quality assurance file as required. Listing sheets reflecting file status may be generated.

Retention Period. Scratch machine readable files and destroy listings when no longer needed for current business.

\*233. PPIR Sample System Development - Revision Files. During system development or revision of programs involved in the PPIR sample system, various test runs and other preliminary processing runs are undertaken by the system analysts. Voluminous listing sheets and temporary test system development-revision data sets reflecting system testing or program debugging are generated. These pertain to intermediate processing operations.

Retention Period. Scratch data sets or destroy listing sheets after they are superseded, or upon completion of testing or debugging operations involved.

\*234. Producer Price Indexes (PPI) Production Data Base Disk and Tape Files. The PPI Production Data Base contains the various data sets required to generate certain monthly price and index data for the monthly press release and printed BLS Bulletin, "Producer Prices and Price Indexes Data." It is planned that this data base will be phased out from an active status as the conversion to the Producer Price Index Revision System is fully implemented within the next few years.

The PPI Data Base comprises some 3200 tracks of a private disk pack at the central BLS computer facility and is maintained under the TOTAL data base management system. For security and back-up purposes, the contents of the data base are dumped daily onto tapes. The tape files are scratched when one month old. A separate monthly dump to tape for remote storage is also performed.

The disk data base includes five files: (1) a master file consisting of basic data pertaining to each commodity/product item; (2) a file of price data identified with the reporting establishments; (3) a mapping file containing data related to the commodity aggregation (hierarchical) structure; (4) link weight files containing weighting data for the various commodities; and (5) a file of specifications for each commodity.

In addition to the publication of index data generated from this data base, as mentioned above, time series data are also accessed directly by the LABSTAT staff. (See Items 157 and 244.)

As its contents can identify individual reporting establishments, the data base is considered confidential.

Retention Period.

- a. Disk data base files. Scratch when all essential information has been tabulated or analyzed, or when superseded, as appropriate.
- b. Tape back-up files. Scratch daily back-up tapes when one month old or as needed for disk regeneration, as appropriate. Scratch monthly back-up tapes when seven months old.

\*235. PPIR Collection System Data Base Files. The PPIR (Producer Price Index Revision) Collection System captures data from initiation forms received from Regional Offices. It reformats the data and serves as a holding area while they are under review for possible inclusion in the APPRISE data base.

The collected data apply to potential new reporting establishments or old establishments reporting new products. Included in the Collection Data Base are two files of continuing data: (1) an Establishment Master File pertaining to establishments for which the Regional Offices have provided input data; and (2) an Item Master File containing data on each unique product within a reporting establishment.

In addition, several temporary data sets may be in the data base for input and processing purposes and are scratched after the release of establishment and product data to the APPRISE data base. See Schedule Item 238 regarding the APPRISE data base.

After the release to the APPRISE data base of establishment and product data related to a specific 4-digit Standard Industrial Classification industry, the contents of the two master files are transferred to a History Master File in the disk Collection Data Base.

The Collection Data Base shares a portion of an APPRISE private disk at the central BLS computer facility, using the MANTIS data base management system. For security and back-up purposes, the contents of the data base files are dumped daily onto tape and are written over weekly.

As the contents of these files could identify reporting establishments, they are considered confidential.

Retention Period.

- a. History Master files. Scratch when all essential information has been analyzed, tabulated, issued, or no longer needed for current business, as appropriate.
- b. Disk temporary input and processing files. Scratch when no longer needed for current business.
- c. Tape back-up files. Scratch when one week old or when no longer needed for disk regeneration, as appropriate.

\*236. OCR Scanner Input Data Sets. An Optical Character Reader (OCR) scanner is used to read and input into temporary disk files some of the data elements on the PPIR monthly repricing schedules received from reporting establishments. The OCR system is also used to read and input data on schedules from reporting establishments for other Prices systems such as the International Prices Program (see Item 59 of this Records Schedule). After successful entry of the OCR inputted data to the appropriate disk data base such as APPRISE (Item 238) or the Export-Import Price Indexes Production Data Base (Item 44), the temporary disk files are scratched. These files are considered confidential as they would identify reporting establishments.

In addition to the data files, the OCR System includes magnetic tape and paper tape program files for operating the scanner input processing.

Retention Period.

- a. Data files. Scratch after successful entry of data to the appropriate data base.
- b. OCR program tapes. Scratch when superseded, or when no longer needed for current business, as appropriate.

237. PPI LABSTAT Time Series Data Tapes. At the central BLS computer facility, tape files are maintained of Producer Price Index (PPI) commodity-oriented time series data which are accessed directly by the LABSTAT staff for updating LABSTAT files (See Item 157 for LABSTAT PPI files). The tapes are updated monthly with new cumulative time series data for the PPI. Replaced tape files are scratched after six months.

Retention Period. Scratch replaced tape files when six months old.

\*238. APPRISE Data Base Files. The Automated Producer Price Index System for Economists (APPRISE) is an automated data processing system for users in performing the PPIR monthly repricing activities.

The APPRISE data base contains various microdata files for producing monthly repricing data for release (transfer) to the Estimation System. The latter system produces the calculated monthly price indexes.

The APPRISE data base and its program files comprise some four private disk packs at the central BLS computer facility. It is maintained under the TOTAL data base management system. For security or back-up purposes, the contents of the data base are dumped daily onto tape.

The disk data base includes data master files and related variable files. It also includes several temporary input and processing files, intermediate input/output files, and system control files - all of which are covered by General Records Schedule 20 - Part II, Items 1 through 14. (See Item 267 of this Schedule.)

Master files and related variable files consist of such data as: (1) historical and current processing month PPIR product data; (2) identification of current reporters representing respondent establishments and the last preceding company representative; (3) establishment summary data; (4) data on status of each Standard Industrial Classification group in the APPRISE system; and (5) a "cell" file of data relating to the publishability status of product/commodity items for which Producer Price Indexes are computed.

It is also planned to establish historical tape files for transfer from the disk files of monthly reported changes in prices and other changes in the disk data files such as those pertaining to product specifications, terms of transaction, change of establishment identification, and the like.

The data base is considered confidential as its contents could identify reporting establishments.

#### Retention Period.

- a. Disk data files and historical tape files. Scratch when all essential information has been tabulated or analyzed, or when superseded, as appropriate.
- b. Tape back-up files. Scratch when two weeks old or when no longer needed for disk regeneration, as appropriate.

\*239. APPRISE System Control and Batch Management Machine Listings. Periodically, or as required, Team Leaders and other Branch personnel obtain system control reports and batch management computer printout listings for reviewing system compliance with requirements as well as programs and production effectiveness. These are temporary listings for one-time, special or periodic analysis for identifying system problems and needs.

Retention Period. Destroy when no longer needed for current business.

240. Define and Enter Data Base Disk and Tape Files. The interactive computer Define and Enter System allows Division of Industrial Prices and Price Indexes (DIPPI) industry analysts to enter industry-product aggregation tree data in the computer system files and to have the computer system do calculations and produce index publication table structures. An index publication structure (or aggregate tree model) is basically a list of cells and aggregations to higher summary levels for which producer price indexes will be calculated and, if establishment response and coverage are adequate, will be published.

During the industry study activities, the DIPPI analysts enter required data via terminals. Once an industry-product publication structure is approved for extract by DIPPI officials such as Team Leaders, that publication structure (aggregation tree) can then be transferred into the Estimation System's Aggregate Data Base (see Item 243). The transferred data are also retained in the Define and Enter Data Base.

The contents of the data base include an industry group master file and variable files. Establishment and price reporting data are not included. The master file contains data pertaining to SIC industry groups at or above the 4-digit level reflecting the groups' sample development or recycling statuses. The variable files contain data pertaining to products included in the sample segments, related to their industry groups, such as publishability status, weighting factors, geographical information, some sample selection factors, and the like.

The Define and Enter Data Base is maintained on private disks at the central Bureau computer facility, under the TOTAL data base management system. For security and back-up purposes, the disk files are copied to tape three times each week and the back-up tapes are scratched when two months old. In addition, a monthly dump of disk files to tape is performed, the resulting back-up tapes being scratched when seven months old.

Retention Period.

- a. Disk data base files. Scratch publication structure data when all essential information has been analyzed, tabulated, or published, or when superseded, as appropriate.
- b. Back-up tape files. Scratch the three-per-week tapes when two months old. Scratch the monthly back-up tapes when seven months old.

\*241. PPIR Weight Data Base Disk and Tape Files. The PPIR Weight Data Base Files contain data sets used to calculate item (product) weighting data which are transferred to the PPIR Item Data Base (see Item 242 of this Records Schedule). The contents of these files contain establishment and industry related data which have been derived from the Collection and Sample Data Bases (Item 235 and 229, respectively).

The Weight Data Base Files are maintained on private disks at the central Bureau computer facility, under the TOTAL data base management system. For security and back-up purposes, the disk files are dumped to tape three times each week, the back-up tapes being scratched when two weeks old. For additional security, disk contents are also dumped to tape monthly and these latter tapes are scratched when seven months old.

Retention Period.

- a. Disk data base files. Scratch when all essential information has been tabulated, analyzed, or published, or when superseded, as appropriate.
- b. Tape back-up files. Scratch regular (three-per-week) tapes when two weeks old. Scratch monthly tapes when seven months old.

242. PPIR Item Data Base Disk and Tape Files. The PPIR Item Data Base files contain PPIR product (item) data sets needed to produce product indexes which are transferred to the Aggregate Data Base (Item 243 of this Records Schedule).

The Item Data Base files are maintained on private disk packs at the central BLS computer facility, under the TOTAL data base management system. For security and back-up purposes, the disk files are dumped to tape three times each week, the back-up tapes being scratched when two weeks old. For additional security, disk contents are also dumped to tape monthly and these latter tapes are scratched when seven months old.

The contents of the Item Data Base include product macrodata such as base prices, net prices, weights, sample cycle identified with, SIC industries identified with, and the like required to generate the producer price indexes. In addition to data obtained from the Item Data Base calculations, other data have been derived from the Collection, APPRISE, and Weight Data Bases (Items 235, 238, and 241, respectively).

Retention Period.

- a. Disk data base files. Scratch when all essential information has been tabulated, analyzed, or published, or when superseded, as appropriate.
- b. Tape back-up files. Scratch regular (three-per-week) tapes when two weeks old. Scratch monthly tapes when seven months old.

243. PPIR Aggregate Data Base Disk and Tape Files. The PPIR Aggregate Data Base of the Estimation System is used to produce the monthly producer prices index tables. This data base receives index aggregation tree models from the Define and Enter Data Base (see Item 240) and monthly industry and product macrodata from the Item Data Base (Item 242).

The Aggregate Data Base is maintained on private disk packs at the central Bureau computer facility, using the TOTAL data base management system. For security and back-up purposes, the disk files are dumped to tape three times each week and these back-up tape files are scratched when two weeks old.

The Aggregate Data Base contains an Aggregate Tree Master File and an Index Master File and related variable index files. As mentioned above, the prior master file contains the tree models transferred from the Define and Enter Data Base. The Index files contain the calculated PPIR time series indexes for the latest month as well as previously computed indexes, both published and unpublished. It is planned to transfer the PPI/WPI time series tables from the Subfile Tapes (Item 244) to the Aggregate Data Base files in the near future.

The predecessor Producer Price Index/Wholesale Price Index (PPI/WPI) time series index tables are available through LABSTAT. (See Item 157 of this Records Schedule.)

Retention Period.

- a. Disk data base files. Scratch when all essential information has been tabulated, analyzed, or published, or when superseded, as appropriate.



b. Tape back-up files. Scratch when two weeks old.

\*244. Historical Subfile Tapes. Consist of computer tape files produced each month. They show for each industry and commodity covered the annual and monthly average index data from the time the index was started. They contain both published and unpublished data. Unpublished data tape files do not meet BLS publication standards and could possibly violate BLS pledges of confidentiality regarding identity of reporting establishments. The tapes are updated monthly with the addition of price index data resulting from that month's repricing reporting activity. Time series data on the PPI tapes are also available through LABSTAT (Item 157).

Retention Period. Scratch tape files when twelve months old or when no longer needed for current business, as appropriate.

**OFFICE OF SURVEY PROCESSING**  
**DIVISION OF INDUSTRIAL PRICES AND INDUSTRIAL RELATIONS**  
**PRODUCER PRICE INDEXES PROGRAM, DATA SUPPORT STAFF (BRANCH)**

The Data Support Staff (Branch) of the Division of Industrial Prices and Industrial Relations (IPIR), Office of Survey Processing concerned with the Producer Price Indexes Program is primarily responsible for: (1) the mail-out of schedules involving initiation of establishments into the PPIR system, the monthly repricing reporting of those establishments, and the mailing out of shuttle schedules under the commodity-oriented PPI (WPI) system; (2) the correct entry of the reported data into the appropriate data bases of the PPIR or PPI systems, including making reviews of such entry operations to eliminate all possible errors; (3) the identification of problem schedules requiring professional review or those requiring keyboard entry; (4) the making of such hand calculations as are required in determining net prices and entering such data into the appropriate data bases; and (5) the maintenance of the official copy of pricing schedules and related records.

The Branch is divided into three main teams. (1) The Collection Team covers the initiation of establishments during sample segment development or recycling in the PPIR system. A small sub-group within the Collection Team is responsible for the mail-out and entry of data for the PPI (WPI) commodity-oriented system now being phased out. (2) The Data Entry and (3) the Data Review Teams of the Branch are responsible for the mail-out and data entry activities involving the monthly repricing reporting under the APPRISE System of the PPIR, with the Review Team covering the review and elimination of all possible errors during the entry process.

At the time of this writing, this Branch had the greatest volume of records on hand of any of the organizational units involved with the Producer Prices Program, because of its responsibility for maintaining the voluminous initiation or repricing schedules.

**BRANCH FILES**

\*245. Branch Administrative Subject Files. The file consists primarily of personnel related records as well as time and attendance records, although certain periodic reports and copies of Branch correspondence are included. The file is maintained by the secretary to the Branch Chief who serves as timekeeper for the personnel of the Branch providing data support services to both the International Price Program and the Producer Price Program.

The files are comprised of such records as Branch copies of employee earning and leave statements, active and inactive Branch personnel name files of Branch employees, copies of employee time cards, IPP and PPI periodic response reports, lists of employee addresses, and the like.

The central BLS Administrative Management Offices have the BLS record copy of these documents.

These records could be considered to be covered by the Privacy Act.

Retention Period. Destroy when five years old or when no longer needed for current business, whichever is sooner.

- Except:
- (1) Flexitime records-logs. Destroy when three years old.
  - (2) Personnel Name files, performance appraisals, and earning and leave statements. Destroy one year after separation of employee.
  - (3) Bi-weekly time and attendance files. Destroy when two years old.

#### COLLECTION TEAM FILES

\*246. Productive Initiation Collection Documents. The file consists of face sheets, schedules, product and transaction check lists, disaggregation sheets, and related records reflecting the initial interviews of BLS Regional Representatives with reporters at sampled establishments in obtaining the initial price and product information involved in generating industry producer price indexes.

The reported information from the establishments is entered into the Collection Data Base, after keypunching by contractors. The DSS Collection Team is required to maintain the file of the schedules checklists and to ensure that the data entered into the Collection Data Base are as error-free as possible in matching the reported information on the schedules-checklists.

The collection documents are arranged by Industry SIC numbers and by establishment numbers thereunder. At present, when DSS is informed of the SIC industries involved in a recycling sample segment, the Collection Documents are removed from the file to provide room for the new recycled collection documents when received.

As DIPPI or SMD records revisions on separate forms during review of the collected data, the final data in the collection data base on each establishment of each industry covered in the sample segment may vary from that shown on the reported collection documents.

Retention Period. Destroy an industry's schedules upon completion of recycling of that particular industry.

\*247. Non-Productive Initiation Collection Documents. Certain of the establishments included in a proposed industry sample sent to the BLS Regions for initiation refuse to report or are otherwise nonproductive. Typically, the face sheet of the collection documents of these establishments is filed in binders to provide a record of such establishments. During recycling, these files may be referred to during the sample frame refinement process, to determine which establishments might not be included in the recycled industry sample.

Retention Period. After completion of recycling, destroy previous cycle's records on an industry.

\*248. Machine Printouts Reflecting Review and Correction of Key punching Errors in Collection Documents. The DSS Collection Team is furnished machine listing sheets reflecting the reported initiation data from establishments originally keypunched by the contractor for entry into the Collection Data Base. After comparing the listings against the reported schedules-checklists, the DSS Collection Team marks errors on these keypunch listing sheets, and enters corrections into the Collection Data Base via terminals.

One or more sets of "compare" listing sheets may be received back reflecting the corrections made via terminals. After all possible entry errors are corrected by DSS, "capture" listing sheets reflecting all the DSS changes are prepared by Systems Staff and are sent to DIPPI and SMD analysts for further review.

DSS receives also Collection Log Entry Listing Sheets reflecting, by batch number, the establishment number codes of the various establishments entered into the Collection Data Base, as well as such other machine listings as may be required.

Retention Period.

- a. Preliminary listings. Destroy when superseded.
- b. Final listing sheets. Destroy when one month old.

\*249. Initiation Data Base Correction Forms. After DIPPI or SMD Analysts receive the machine printouts ("capture" printouts) reflecting the correction of clerical errors made by the contractor during the keypunching operations, they review the listing sheets to determine need for further revisions. Form 726E, "Initiation Data Base Correction Form" is used to inform DSS of any revisions DSS is required to enter via terminals into the Collection Data Base.

The forms are maintained separately from the Initiation Schedules-Checklists which have been placed in folders and filed. While not included in these files, DIPPI or SMD analysts may also prepare form SO-608A to be sent to Regions via OFO requesting further information from Regional Offices for possible changes.

Retention Period. Destroy when two weeks old.

250. Collection Team PPIR System Control or Log Books. Various internal controls are maintained by the collection team in keeping track of the movement of PPIR schedules-checklists, of actions taken during data entry, of charging out of schedules to other offices of the sending of quality control data to DIPPI, and the like. Certain logs or controls are machine processed while others are manually maintained. These controls include such materials as: (1) a machine printout log reflecting the movement of collection documents from the office to the keypunch contractor and return; (2) batch control machine listings indicating the establishment numbers involved in actions taken by the team in providing for the entry of initiation data from such establishments; (3) manual charge-out logs providing a record of the borrowing of collection documents from the files; (4) weekly batch structured survey review machine printouts reflecting the entry of quality assurance data (Form 1206) from Regional Offices during the initiation phase; and (5) such other internal controls as may be required.

Retention Period.

- a. Machine printout controls. Destroy when superseded or when four months old, as appropriate.
- b. Charge-out logs. Destroy six months after all entries on a page are completed.

DSS PPI (WPI) GROUP

\*251. PPI (WPI) Individual Establishment-Reported Commodity Price-Specification Files (Shuttle Schedules). (See Special Disposal Schedule NC 1-257-85-1, Item 1).

Retention Period. Destroy when five months old (i.e., five months after shuttle schedule year).

\*252. WPI Composite Summary Sheets. File consists of manually entered summary sheets, such as WPI Indexes covering the period 1950-1970, showing for ten-year intervals the annual and monthly index entries for the various commodities covered, arranged in commodity code sequence. Each summary covered a particular coded commodity. Certain of these sheets were labelled PPI-PPIR interface.

In addition to these manual index entries, the file also contains WPI Cell Specification Master Sheets for the coded commodities, providing handwritten detailed specifications of a particular commodity, a listing of minor changes to the specifications, and a listing of the establishments or sources providing the data for the particular commodity covered. These cover the 1960-1970 period.

Retention Period. Destroy after approval of this Schedule.

\*253. WPI Monthly Price Entry and Monthly WPI Index Summary Listing Sheets. The files consist of two monthly listing sheets such as: the WPI Monthly Price Listing Sheets in binders reflecting the entry of the reported establishment data into the PPI data base; and, the monthly WPI Index Summary Sheets in binders reflecting the estimation of the commodity-based price index data by the PPI data base system showing such headings as Index Factor, Current Aggregate Difference, Relative, Percent Change, and the like.

The listings are produced from the PPI Data Base.

Retention Period.

- a. Preliminary Listings. Destroy when superseded by update listings.
- b. Final listings. Destroy when six months old or when no longer needed for current business, whichever is sooner.

\*254. WPI Aggregation Summary Listing Sheets. A series of listing sheets are produced reflecting various aggregations or price calculations from the PPI data base or other data bases as required. Such listing sheets include special petroleum price listings, schedule listings, aggregated index reports, SOP listings, Table 6 listings, durability listings, and such other summary listings as may be required.

Retention Period. Destroy when six months old or when no longer needed for current business, whichever is sooner.

255. PPI (WPI) Schedule Log Files. Monthly Logs are maintained to control the mail-out and return of PPI Shuttle Schedules mailed to reporting establishments. In addition, monthly log sheets are maintained covering the transmittal and return of problem PPI Schedules to DIPPI Analysts for resolution of reporting problems.

Retention Period. Destroy when five months old.

## DSS ENTER AND REVIEW TEAMS FILES

\*256. Producer Prices Repricing Schedules Files. (See Special Disposal Schedule NC 1-257-85-1, Item 1.)

Retention Period. Destroy when five months old.

257. PPIR Repricing Batch Face Sheet Files. Consist of face sheets prepared for batches of incoming monthly repricing schedules received from Producer Prices reporting establishments. The face sheet contains a history of the processing steps for its batch with such information as associated times, identification of employees who entered data to the machine-readable files and who reviewed the entered data, comments on processing problems, and other workload data.

Retention Period. Destroy when one year old or when no longer needed for current business, whichever is later.

\*258. Form 50 Repricing Revision Files. Files consist of record copies of "Requests for Statistical and Typing Services" (commonly called "Form 50") received from the Division of Industrial Prices and Price Indexes (DIPPI). These forms provided instructions from DIPPI for the DSS staff to enter the current revised and yearly revision data into the machine-readable files. With the installation of the APPRISE System, the use of this form was discontinued in 1 for the Producer Price Indexes Revision data base.

Until the PPI System is discontinued, these forms are still being used for the commodity-based PPI (WPI) index system.

Retention Period. Destroy when six months old.

\*259. Inactive SO 726 Repricing Revision Forms Files. Before November 1984 (when the APPRISE System was placed into effect), Form SO-726 transmittal sheets were prepared by the DSS staff to transmit repricing schedules to DIPPI. The DIPPI analyst would enter instructions on the form which, after review in DIPPI, would be returned to DSS for entry of establishment repricing revision data to the repricing data base.

With the APPRISE system in operation, the use of this form has been discontinued.

Retention Period. Destroy upon approval of this Schedule.



260. PPIR Repricing Schedules Logs. Consist of log sheets (forms) such as: (1) mail control sheet, for recording batches of repricing schedules received from reporting establishments and referred to the Optical Character Recognition (OCR) scanner activity; (2) the Batch Control Sheet reflecting batches of schedules returned from the OCR scanner activity; (3) the APPRISE Control Sheet for recording batches of schedule copies submitted to DIPPI analysts for action or information; (4) Machine Problem Logs for information as to problems with machines supporting DSS operations such as computers, OCR scanner, mailing equipment, and the like; (5) the Supervision Control Record showing processing data and employee assignments for schedule batches; and (6) such other internal control logs as are required.

Retention Periods.

- a. Logs (1), (2), and (3) Above. Destroy when four months old.
- b. Machine Problem Log. Destroy when one year old.
- c. Supervision Control Record. Destroy when one year old or when no longer needed for current business, whichever is later.
- d. Other Internal Control Logs. Destroy when no longer needed for current business.

\*261. PPIR Monthly Price Review Listings. Consist of monthly computer printout listings of some six months' prices and related price data such as gross, net, and base prices, and percent of change. The listings are received in both hard copy and COM microfiche media, and copies in each medium are distributed to DIPPI (Item 131). In addition, the data are retained in the APPRISE data base.

Retention Period.

- a. Hard copy listings. Destroy when next monthly hard copy listing is received.
- b. Microfiche record. Destroy when two years old.

\*262. PPIR Detailed Cell Listing Files. Consist of monthly computer printout listings of Producer Prices data indicating companies included in each cell and certain weight and aggregated data. These listings are received in both hard copy and COM microfiche media. Copies in each medium are also distributed to DIPPI (Item 131). In addition, the data are retained in the APPRISE machine-readable files.

Retention Period.

- a. Hard copy listings. Destroy when next monthly hardcopy listing is received.
- b. Microfiche record. Destroy when two years old.

\*263. PPIR Reference and Processing Machine Listings Files.

On a periodic basis, DSS receives reference copies of various machine printout listings such as: (1) Weekly listings of the repricing schedules mailed to reporting establishments; (2) monthly batch control listings of schedules received from reporting establishments; (3) monthly reporter information change listings; (4) monthly replacement updates of the reporter address listings; (5) weekly list of schedules requiring hand calculations of price data and entry into the machine-readable files; (6) error listings of schedules for which prices are to be reentered into the data base; (7) the monthly Producer Prices Systems schedule of computer runs, and such similar listings as may be required.

The listings are used for management control or as reference materials with respect to performing data entry or correction tasks. Some listings are confidential as their contents would identify reporting establishments.

Retention Period.

- a. Listings replaced by updated printouts. Destroy when replacement listing is received.
- b. Other listings. Destroy when six months old or when no longer needed for current business, whichever is sooner.

\*264. Inactive Files of Discontinued PPIR Machine Listings.

Consist of copies of discontinued computer hard copy listings such as:

- a. Price Qualifier Listings containing price discount factors by reporting establishment - an intermediate processing printout.
- b. 726 Control Listings of data pertaining to BLS internal processing of PPI pricing data.
- c. DSS Item Code SO-50 Reference Listing of data also related to BLS internal price data processing. This listing, too, was an internal control tool.

- d. Such other reference and processing control listings as may be discontinued.

As the result of implementing the Automated Producer Price Revision Index System for Economists (APPRISE) in November 1984 and changes to the internal repricing data processing procedures, all three listings have been discontinued and the files are inactive. The latest printout in the files contains October 1984 data.

Retention Period. Destroy upon approval of this Records Schedule.

**RECORDS COMMON TO ALL IPIR OFFICES**  
**SUPPORTING THE PRODUCER PRICES PROGRAM**

265. Technical Reference, Background, and Working Files. These are extra copies, drafts, published materials, periodicals, extra copies of instructional manuals or issuances, clippings, various working papers and tabulations and the like maintained by Branch Chiefs, Team Leaders, Systems Analysts, programmers, technicians, statistical assistants, or other program personnel concerned with the Producer Price Indexes Program pertaining to their assigned areas of responsibility. In addition, certain industry literature may be obtained as background in preparing industry sample frames or establishment samples, or industry checklists.

Also such reference materials may concern computerized operations and systems, and statistical procedures and methodology.

This item does not cover any reference or background materials or work files listed above for the Office as specific items of the Schedule.

Retention Period. Review files at least once a year to identify disposable materials. Destroy when superseded, obsoleted, or no longer needed for current business, as appropriate.

\*266. Intermediate Printouts, Job Runs, Worksheets. In carrying out the Producer Prices Program, Branch Chiefs, Team Leaders, system analysts, programmers, statistical assistants, or other personnel obtain various intermediate printouts, job runs, or worksheets as part of the computer support of the production of the PPIR/PPI indexes. Frequently, preliminary listings or worksheets representing yearly phases of the operations are replaced by later printouts.

These machine-produced listings can involve such sampling initiation, repricing, or estimation operations as: developing or recycling the sample registers of reporting establishments and the related information on industries and items to be priced; obtaining, entering, reviewing/correcting, analyzing, and tabulating the pricing data on a monthly basis; and calculating preliminary or final indexes. Also involved are runs and listings pertaining to developing the various computer systems or improving processing methodology, monitoring system activity, answering requests for information, developing or maintaining various planning or progress reporting systems, other special runs, and the like. Such listings as are in this Item

are not covered by any other Items of the Producer Prices Program listed above.

Retention Period. Destroy when all essential information has been analyzed, tabulated, or published, or when superseded or obsolete, as appropriate.

\*267. Producer Prices Intermediate Machine Processing Files. Consist of intermediate processing tape or disk files of the Producer Prices Program as defined by General Records Schedule (GRS) 20, such as work files, test files, input source files, intermediate input/output files, valid transaction files, and the like covering machine-readable records not specifically listed above under items of this Records Schedule for the OSP offices concerned with the Producer Price Program (see page 179 of this Schedule).

Retention Period. Apply the retention periods of GRS 20, Part II, Items 1 through 14, as appropriate.

**OFFICE OF PRICES AND LIVING CONDITIONS**  
**DIVISION OF STATISTICAL METHODS**  
**PPIR BRANCH**

a. Mission. To plan, develop, manage, and evaluate all statistical aspects of the programs within the Office of Prices & Living Conditions.

b. Functions

(1) Consults with program managers and analysts within the office on the program conceptual framework and program objectives. Develops statistical framework and statistical requirements consistent with the conceptual framework and program objectives. Integrates and coordinates all statistical activities with the office.

(2) Designs and directs implementation of: statistical frames and samples; statistical models; survey estimators and methodologies for measuring sampling error; procedures to identify sources of non-sampling error and techniques to control their impact on survey estimates; and quality measurement and control procedures.

(3) Reviews operational procedures of new and existing programs to ensure the statistical quality of the survey procedures.

(4) Reviews and evaluates existing survey designs and statistical outputs to ensure that the outputs are statistically valid and conform to program specifications.

(5) Determines statistical requirements for survey pretests and works with program managers and analysts to develop pilot surveys to test measurability and operational feasibility of concepts and methodologies.

(6) Prepares Technical Notes and Sampling Statements describing the survey scope, methodology, and reliability of estimates for publications with survey data.

(7) Documents statistical methodology and statistical policies employed in survey programs, and justifies methodology in response to request or reviews by the Office of the Chief Mathematical Statistician, GAO, and other outside reviewers.

(8) Conducts applied and evaluative research in the design and analysis of surveys. Develops new approaches to sample design and estimation procedures for office surveys.

(9) Consults with the Office of Mathematical Statistics (OMS) to keep abreast of scientific developments in survey design and estimation. Keeps OMS informed of technical developments in survey designs in the office that might have implications for other BLS surveys.

(10) Develops official statistical policy and statements for the office. Provides expert advice and counsel in statistical aspects of Office programs, representing the Office and the Bureau.

(11) Develops statistical standards of quality, measurement of adherence to the standards, and application of statistical quality control methods for all programs. Develops short and long range goals for management review on the upgrading of the overall survey design or individual survey activities.

(12) Provides assistance in the official statistical policy and statements for the office. Provides expert advice and counsel in statistical aspects of Office programs, representing the Office and the Bureau.

(11) Develops statistical standards of quality, measurement of adherence to the standards, and application of statistical quality control methods for all programs. Develops short and long range goals for management review on the upgrading of the overall survey design or individual survey activities.

(12) Provides assistance in the clearance of survey forms for office surveys and other surveys as requested by the BLS Clearance Officer.

\*268. PPIR Branch Program Subject Files. These Branch program subject files, consisting of correspondence and related documents, are maintained under an automated indexing system, with the capability of locating records by subject, date, names of persons or organizations, and stated purge date for each document. The files contain such documents as copies of sample design memorandums, copies of product checklists for SIC industry groups, internal management communications, copies of system development papers from various projects, statistical methodology reference materials, other correspondence from sources outside of the Division, and the like. The files pertain to sample development and maintenance activities, as well as other statistical operations such as quality control and estimation.

As required, letter-size computer printouts are generated providing finding aids to the document file for access by subject, author, receiver, other names, document date, and purge date.

These automated files were established in 1981, and the automated index records and programs for operating the system are maintained on disk at the central BLS computer center, with twice-a-week tape back-up.

Retention Period.

- a. Hard Copy. Destroy when indicated by document purge date or when no longer needed for current business, whichever is sooner.
- b. Machine Readable Records. Scratch when updated or when no longer needed for current business, as appropriate.

\*269. PPIR Branch Administrative Subject Files. Administrative files of the Branch comprises of such materials as correspondence, inter-office memos, requisitions, and related papers, arranged by subject. They concern such administrative matters as personnel, health benefits, training, equipment, supplies and services, travel authorizations and vouchers, telephone services, and the like.

Personnel name folders are also maintained for present and former employees, containing such papers as personnel action forms, position descriptions, performance appraisals, and incidental correspondence. Official personnel records are maintained at a higher echelon. Such name personnel files appear to be covered by the Privacy Act.

Retention Period.

- a. Personnel Name Files. Destroy one year after separation or transfer of employee.
- b. Other Files. Break files every five years and bring active materials forward. Destroy inactive materials five years later or when no longer needed for current business, whichever occurs sooner.

\*270. Time and Attendance Files. Consist of office copies of time and attendance, leave and earnings, and related flexitime records pertaining to employees of the Branch. Official records are maintained in the central BLS Office of Administration. Such records appear to be covered by the Privacy Act.

Retention Period. Destroy when three years old.

\*271. Word Processing Media Files. Consist of diskettes used in preparing hard copy textual and tabular documents such as correspondence, administrative papers, and program papers like sample design memos.



Retention Period. Scratch when hard copy documents have been approved or issued, or when no longer needed for current business, as appropriate.

272. Branch Correspondence Files. Consist of convenience copies of outgoing communications prepared in the Branch, arranged by date.

Retention Period. Destroy when 5 years old.

273. Sample Design Documentation Files. The files provide documentation of the activities of the Division's mathematical statisticians in designing the sample segments of the Producer Prices System. These case files consist of folders for 4-digit level SIC industries. Their contents include such materials as: the Division sample design memorandum providing the design plan for the SIC industry; sample selection forms; copies of DIPPI-prepared industry studies; machine printouts such as publication title listings; frame refinement notes; copies of sample documents referred to the Regional Offices for data collection during sample initiation visits to prospective reporting establishments; establishment clusters worksheets and related papers; DIPPI specification statements; weighting calculation notes; strata plans; and the like.

Retention Period. Destroy when the industry sample is recycled and replaced.

274. Sample Design Memorandum Convenience Copy File. Consists of extra copies of Sample Design Memorandums prepared by the Division to explain design of and recommendations for a SIC industry sample of reporting establishments for producer prices. The Division record copy is maintained in the Sample Design Documentation Files.

Retention Period. Destroy when the industry sample is recycled and replaced.

275. PPIR Frame/Sample Production Control Forms and Logs. Consist of workload control records such as:

- (1) Sample Production Transmittal Forms (chronology of key transactions on industry frames and samples by SMD);
- (2) Log of Production Status (by Quarter); and

- (3) SMD Production Log of Documents received from DIPPI (register of key documents pertaining to specific frames and samples development).

Retention Period. Destroy when no longer needed for current business.

\*276. PPIR Frame Directories Listings. Consist of copies of listings of frames of establishments from which samples of prospective reporting establishments for SIC industries are drawn for the Producer Prices Program. They may be in either machine hard copy listing or in computer output microfiche (COM) format. Included are: hard copy frame listings for the PPIR pilot phase; final hard copy frame listings for PPIR Sample Segments from 1979 to about 1982; final frame listings on COM from about early 1983 to date; and hard copy preliminary listings for SIC industry samples in process of development and initiation.

The pilot phase listings, the final frame listings for Sample Segments 1 through 4A, and a master COM file of all PPIR frames for SIC industries for which PPIR samples have been completed are located in Branch central files. For the industries for which they are responsible, mathematical statisticians maintain hard copy preliminary listings, hard copy listings for some periods before 1983, and COM listings for the period since 1982.

Retention Period.

- a. Preliminary Listings. Destroy when superseded by revised listings.
- b. Final Sampling Frame Listings. Destroy when the sample for the industry is replaced by a recycled sample.

\*277. PPIR Sample Directories. After the frame of potential reporting establishments for a SIC industry group is finalized, preliminary sample listings are produced for use in selecting the sample of industry establishments that will be visited by field representatives for collecting initiation product and pricing data.

The preliminary sample listings are reviewed and refined by SMD, DIPPI, and IPIR. After approval by SMD and DIPPI, final sample machine listings are produced of the establishments to be visited, containing identification, address, and other data for the field representative's use.

Hard copy and, subsequently, COM copies of the final listings are furnished to the SMD mathematical statistician

responsible for the particular industry. For his/her assigned industries, the statistician maintains final industry hard copy listings of early PPIR Sample Segments, but does not duplicate the early listings in the central Branch files. Beginning approximately in 1983, the final listings have been received in both hard copy and COM formats. The final hard copy listing is destroyed when the COM version is received.

For early PPIR sample segments (1 through 4A), final listing copies are maintained centrally in Branch files. (As of this writing, 21 segments had been completed, covering some 488 industries.) In addition, composite sample listings of completed samples (e.g., sample segments 1 through 21) are maintained centrally in both hard copy and microfiche.

#### Retention Period.

- a. Preliminary Listings. Destroy when superseded by revised listings.
- b. Final Sample Listings.
  - (1) When mathematical statisticians' microfiche listings are received, destroy the corresponding paper listing.
  - (2) Microfiche and other paper listings: destroy when the sample for the industry is replaced by a recycled sample.

\*278. PPIR Frame Establishment Sources Listings Files. For the Producer Prices Program, BLS uses various sources for information for constructing lists (frames) of establishments in SIC industries. The primary source of this information has been the Unemployment Insurance Files (U.I.) of which almost every employer is, by law, a member. Supplementary information is obtained from multiple, publicly available lists.

Machine readable data obtained from such sources are maintained in the Sample System Data Base (Item 229). The Statistical Methods Division maintains files of establishment information obtained from the U.I. System and other sources in either hard copy machine listings or in computer output microfiche (COM) format.

These listings provide source and reference data for analyzing and refining the SIC frames and samples of prospective reporting establishments. Some source listings contain only mining and manufacturing establishments, but a few contain businesses from all SIC industry groups.

Retention Period. Destroy when all essential information has been analyzed, tabulated, or issued, as appropriate.

\*279. Collection Review Machine Listing Files. After a particular industry sample is developed, BLS field representatives visit the sample's prospective reporting establishments. Data collected incident to the interview are sent to the BLS central office and entered into the Collection Data Base. Collection Review Listings reflecting the data reported by the field representative are printed out and analyzed by the appropriate mathematical statistician who makes corrections, as necessary, using special forms to notify IPIR. After approval is obtained of the initiation data for the establishments and products, a final Collection Review Listing sheet is sent to the SMD mathematical statistician and the data are transferred to the APPRISE Data Base for periodic repricing reporting.

Earlier years' (1979-82) listings are maintained in a central Branch file and later year printouts are maintained by the mathematical statistician responsible for the SIC industry involved.

DIPPI industry analysts maintain a different version of this listing ("Collected Establishment and Item Data Listing," Item 128).

Retention Period.

- a. Preliminary Collection Listing Sheets and Revision Notification Forms. Destroy when superseded by revised listing.
- b. Final Establishment Collection Listing Sheets. Destroy when the sample for the industry is replaced by a recycled sample.

\*280. Frame/Sample Analysis Machine Listing Files. Periodically, and as required, the Division receives various types of machine listings which are used by the Division staff to monitor the development of the industry samples, monitor the status of the samples, and initiate action to adjust the samples to maintain their statistical validity. SMD personnel analyze the listings and, as required, make necessary calculations, revisions, or updates of data in the appropriate data bases.

Such hard copy machine listings as the following are received, although other listings may be generated:

- (1) The monthly Final U Listing which displays item (product) weight information collected during the initiation phase.

- (2) The monthly Nonactive Review Listing that covers reported data from establishments that do not yet have three productive price reports for basing into the APPRISE System.
- (3) The monthly Value of Shipment Listing which contains data regarding dollar values of establishment shipments of products which are analyzed for their weighting factors implications.
- (4) The weekly Relative Percent Monitoring List which shows establishments with certain product data collected from them, such as these for which the same product is listed more than once.
- (5) Other periodic or special analysis and monitoring hard copy listings which are required such as those for management review of item (product) status.

Retention Period.

- a. Preliminary and Temporary Listings and Those Replaced by Updated Listings. Destroy when replaced or when no longer needed for current business, as appropriate.
- b. Relative Percent Monitoring Listing. Destroy when one year old or when no longer needed for current business, whichever occurs sooner.
- c. Other Final Listings. Destroy when the sample for the industry is replaced by a recycled sample.

\*281. Frame/Sample Analysis COM Listings. Consist of selected machine listings on computer output microfiche (COM). These microfiche listings provide data for use of the Division mathematical statisticians in statistical methodology study, purposes such as variance analysis and other methodology development activities. Such COM listings as the following may be received, although others may be generated:

- The monthly Detailed Cell Index Listings which indicate the company included in each cell and its reported prices.
- The monthly Item Index Analysis Listing.

Retention Period. Destroy when all essential information has been analyzed, tabulated, or issued.

\*282. Mathematical Statistician Weight Change Files. Maintained by the mathematical statisticians, the files include calculation worksheets and background data used by the statisticians in calculating weights to be assigned to pricing data for establishments, frequently in multi-establishments situations. Also included in these files may be copies of forms prepared by the Regional Office data collector who visited the establishment.

Retention Period. Destroy when the sample for the industry is replaced by a recycled sample.

\*283. PPIR Initiation Collection Worksheets and Other Documents. Maintained by the mathematical statisticians, these files include such materials as photocopies of Disaggregation Worksheets, Multi-Establishment Reporting Forms (MERF's), and the like received from IPIR-DSS, which keeps the record copies (Item 246 of this Record Schedule). These documents are prepared by Regional Office representatives, reflecting results of initiation interviews with prospective reporting establishments. After analysis by the mathematical statistician as to the impact, if any, on the industry sample of establishments, the analyst prepares and forwards appropriate instructions to IPIR to revise the data base files concerned.

These files are considered confidential as their contents could identify reporting establishments.

Retention Period. Destroy when the sample for the industry is replaced or when no longer needed for current business, whichever occurs sooner.

284. Mathematical Statistician Estimation System Enhancement Files. Maintained by the mathematical statisticians, these files consist of copies of instructions prepared by the statisticians and forwarded to IPIR for revisions to the Estimation System files.

A Branch file is maintained of copies of such documents prepared by the Branch Staff, and some individual mathematical statisticians also keep copies for their convenience.

Retention Period. Destroy when the sample for the industry is replaced or when no longer needed for current business, whichever is sooner.

\*285. Generalized Sample Variance System Files. A computerized system has been established to measure the general sample variance involved in the 4-digit SIC industries in Sample Segments 1-21 of Cycle 1. The system will be applied in measuring

variance at the estimation cell level from 4-9 digit SIC classifications to cycle 2 and future sample segments, as well.

Both machine readable and hard copy files are maintained in operating this variance measurement system. Machine readable files on disk and tape at the central Bureau facility include such files as: inputted source data sets involving data extracted from the Sample System Data Base, the Collection Data Base, and the APPRISE Data Base; data files involving analysis of the data and calculating the sample variances; data files covering programs involved in the system and system documentation such as methodological statements; and internal system operating data files.

Hard copy files include: printouts involving such matters as inputting data, analyzing data and calculating industry sample variances, inventories of programs applied, debugging listings, documentation listings such as methodological statements; as well as background materials, project statements, correspondence, progress reports, and calculated variance statements, and the like.

At the time of this writing, variance data are not being published, but are used internally for managing PPIR samples.

Retention Period.

- a. Preliminary Data Files and Printouts. Scratch or destroy when superseded.
- b. Other Machine Readable or Hard Copy Variance System Files. Scratch or destroy when all essential information has been analyzed or tabulated.

\*286. Team Leader-Mathematical Statistician PPIR Mining-Manufacturing Sample Development Project Folder Files. The team leader for the PPIR Mining and Manufacturing Sample Development team maintains project folders on the various sample development projects for which he is responsible. These projects, carried out by the Mathematical Statisticians of the team, concern such statistical methodological matters involving sampling theory and practice as: development and maintenance of an automated system for measuring generalized statistical sampling variance for the 21 sample segments of cycle 1 and later recycles as required; analysis of components of variance involving variability between and within establishments of a sample; sample design methodological studies; sample segment projects involving the development of samples for use in the sample segments of the PPIR sampling cycles; sample allocation development studies involving individual sample segments as well as all segments of cycle 2 and the like; and other similar types of sample development studies as required.

The project folders can include such types of records as: computer or manually prepared project descriptive statements and proposed completion schedules; progress reports; notes and drafts; final reports; background materials; printouts from various data sets on disk, mass storage, or tape involved in carrying these projects; sample design memorandums or frame or sample unit listings; internal correspondence with DIPPI or IPIR regarding the carrying out or the results of the projects; manual tabulations; and the like. Copies of significant results of these projects should be sent to the Branch Program Subject File (Item 268).

Duplicate or counterpart project folders are maintained by the individual mathematical statisticians covering the particular PPIR mining and manufacturing sample development projects for which they are responsible.

Retention Period. As appropriate, break files into a segment for current projects and a segment for inactive projects. Destroy inactive project files when all essential information has been analyzed or tabulated.

\*287. Team Leader-Mathematical Statistician PPIR Service Industry Sample Development Project Folder Files. The Team Leader for the PPIR Service Industry Development Team maintains project folders pertaining to assigned responsibilities. The service industry support activities involve such projects as: participation in a Task Force studying the broad aspects of expanding the existing PPIR service industry price indexes (the Task Force is chaired by a representative of the Division of Price Index Number Research); a study of the feasibility of using Consumer Price Index (CPI) data in developing projected PPIR indexes for 4-digit SIC service industries; and sample design work for service industries, most of which would be covered for the first time, and similar sample development projects. The contents of the files may include such materials as: project descriptions, project schedules, sample design memorandums with explanatory materials, final frame/listings, final sample unit listings, related correspondence, worksheets, reference materials, working papers, and the like.

Significant documents reflecting the results of these projects should be transferred to the Branch files such as the Sample Design Documentation Files (Item 273) and the PPIR Branch Program Subject Files (Item 268), as appropriate.

Retention Period.

- a. Documents Reflecting Significant Results. Transfer to the Branch files, such as the Sample Design



Documentation Files or the PPIR Branch Program Subject files.

- b. Other Records. As appropriate, break files into a segment for current projects and a segment for inactive projects. Destroy inactive project files when all essential information has been analyzed or tabulated.

\*288. Machine Readable-Printout Files Involving SMD PPIR Sample development Projects. Various data files on disk, tape, or mass storage at the Bureau Central Computer facilities and related printouts are generated in connection with carrying out the Mining/Manufacturing and the Service Industries sample development projects as described in Items 286 and 287 above. Many of these projects can include such data files as: computerized project descriptions or project schedules; source data sets covering inputted data for projects; data files used in analysis, processing, or calculations for projects; data files for programs and methodological explanations relating to projects; data sets covering internal project operations, and the like.

In addition, related printouts such as the following may be generated: printouts for inventories of programs and methodological explanations of projects; printouts of project descriptions and completion schedules; printouts covering inputted source data and analysis and tabulation of inputted data; printouts covering internal processing operations; and the like.

Typically, any on-line data on disk involving the sample development projects are transferred to tape or mass storage when appropriate to reduce computer costs.

Data on disk are periodically transferred to security tapes in accordance with standard computer facility practice.

Retention Period.

- (1) Project Machine Readable Files and Related Printouts.
  - a. For active projects--scratch preliminary data files and destroy related printouts when updated or superseded.
  - b. For inactive projects--scratch data files and destroy related printouts when all essential information has been analyzed or tabulated.
- (2) Security Tapes. Scratch when replaced by updated dumps to tape.

RECORDS COMMON TO ALL OFFICES OF THE BRANCH

\*289. PPIR Intermediate Printouts, Job Runs, Worksheets. In carrying out the sampling activities for the PPIR, the statisticians and other program personnel obtain various intermediate printouts, job runs, or worksheets as part of the computer processing involved in their work.

These machine-produced printouts or listings can involve: preliminary listings leading to final industry sample frame-clusters, intermediate runs leading to final industry sample unit selection, intermediate listings involved in sample development or design projects, preliminary listings concerning the estimation of variance; listings concerning the development of improved sampling procedures and the monitoring of the application of industry samples; and listings concerning index estimation, quality control, and other statistical activities.

Such listings in this Item are not covered by the other items of the Schedule listed above for this Branch.

Retention Period. Destroy when all essential information has been analyzed, tabulated, or published; or, when superseded or obsoleted, as appropriate.

290. PPIR Technical Reference - Working Files. These are extra copies, printed materials, copies of instructional manuals and memoranda, periodicals, working papers and notes, and the like maintained by the statisticians and other program personnel of the PPIR Branch covering their assigned areas of work as well as computerized operations and statistical procedures and sampling methodology.

Retention Period. Review files at least once a year to identify obsolete materials. Destroy when superseded or when no longer needed for current business as appropriate.

\*291. PPIR Sampling Intermediate Machine Processing Files. Consist of intermediate processing tape or disk files pertaining to the development, production, or maintenance of PPIR industry samples, as defined by General Records Schedule 20, such as work files, test files, debugging files, input source files, intermediate input/output files, valid transaction files, and the like covering machine readable files not specifically listed under other items of this Schedule for the PPIR Branch.

Retention Period. Apply the retention periods of GRS 20, Part II, Items 1 through 14, as applicable. (See page 179.)

**OFFICE OF FIELD OPERATIONS - NATIONAL (OFON)**  
**DIVISION OF FIELD COLLECTION ACTIVITIES**

a. Mission. Plans, schedules, and directs all directly-collected surveys with the Regional Offices in accordance with national office priorities.

b. Functions.

(1) Directs and coordinates activities with the Regional Offices regarding survey programs, survey scheduling, and survey progress.

(2) Participates with the Program and Project Offices in the planning of all collection programs, and sets priorities in connection with program/project offices for field collection and processing activities. Represents the field position on all aspects of directly-collected surveys.

(3) Schedules all directly-collected survey activities with the Regional Offices.

(4) Develops estimates of work load and resources required for data collection and related activities, and recommends resource allocation.

(5) Evaluates Regional Office performance by analyzing and evaluating production records, cost data, and other information regarding the quality and quantity of the collection programs.

(6) Implements quality-control procedures for personal visit collections, in consultation with the appropriate BLS control offices.

(7) Participates with the Division of Training in identifying training needs and in planning national training programs.

(8) Conducts activities necessary for long-range planning for improving operations and for making major policy decisions with respect to Regional Office operations.

(9) Participates with Program and Project offices in the design and implementation of pilot surveys and the development of new collection methodologies.

**OFFICE OF FIELD OPERATIONS - NATIONAL (OFON)**  
**DIVISION OF FIELD COLLECTION ACTIVITIES**  
**BRANCH OF INDUSTRIAL PRICES PROGRAMS AND CPI**  
**PROCESS AUDITS**

The Branch of Industrial Prices Programs and CPI Process Audits was established as a separate entity in the Division of Field Collection Activities (OFON) in January 1985. Prior to that time, the Price Indexes programs of the Division of Field Collection Activities had been consolidated in one Branch. These Price Indexes Programs had included the Consumer Price, the Producer Price, and the International Price Programs in the one Branch.

The records described below concern only the Industrial Prices Programs Branch activities relating to the Producer Price Indexes and the International Price Indexes. These Branch records reflect its missions of planning for, scheduling, coordinating, monitoring, and directing Regional Office actions primarily involved in the direct collection by Regional Office personnel of producer and international price data from establishments being initially sampled, although some continuing Regional Office contacts are maintained with certain of the sampled establishments, as required.

Overall, the Branch serves as a bridge between BLS Headquarters Program and Project (Support) Offices concerned with the industrial price indexes and the eight BLS Regional Offices concerned with visiting the sampled establishments. The Regional Representatives interview reporters at the visited establishments to initiate reporting on prices and to obtain the continued participation of the establishments in reporting monthly for the Producer Price Program or quarterly for the International Price Program. The Branch prints, stocks, and distributes to Regional Offices the instructional materials and survey supplies needed for initiating price reporting at sampled establishments. It also serves as the channel for Headquarters-Regional Office communications concerning these Industrial Price Programs.

In scheduling Regional Office work loads and monitoring Regional Office progress in completing the initial collection of price data from sampled establishments, the Industrial Price Programs activities of the Branch are included as part of the overall Division of Field Collection Activities computerized systems (the Automated SO-1 and SO-4 Regional Reporting Systems) for Regional Offices. See the Division of Field Collection Activities, OFO, segment of the Office of Wages and Industrial Relations Records Disposition Schedule, pages 76-88, for a description of these Division files relating to reporting of Regional Office actions concerning both the OWIR and Price Indexes Programs.

**OFFICE OF FIELD OPERATIONS - NATIONAL (OFON)**  
**DIVISION OF FIELD COLLECTION ACTIVITIES**  
**BRANCH OF INDUSTRIAL PRICES PROGRAMS AND**  
**CPI PROCESS AUDITS**

\*292. Branch Program - Administrative Subject Correspondence (Reading) File. Consists of incoming and copies of outgoing memorandums and letters involving the Consumer, Producer, and International Price Programs maintained by the Branch Secretary.

The file, which has reflected the entire Price program, covers both program and administrative matters concerning the Branch activities in serving as Regional liaison for other headquarters offices in connection with the price indexes programs.

Copies of much of the correspondence included in this file are also included in the Division Program and Administrative subject file maintained by the Secretary to the Director of the Field Collection Activities Division, OFON.

Among the subjects covered by the file are Personnel, Budget, Quality Assurance, Time and Attendance, Field Follow-up, Training, Progress Reports, End of Survey Reports, and the like.

The file is arranged primarily by the various price programs and by subjects thereunder and is broken by fiscal year. The Branch Secretary maintains a log index to the file, listing the various communications included under each of the subjects of the file. It is also broken by fiscal year.

Retention Period. Break file annually by fiscal year and bring forward current material to the new file. Destroy when five years old or when no longer needed for current business, whichever is sooner, except:

- a. Flexitime and time and attendance records. Destroy when three years old.
- b. Personnel name files. Destroy one year after separation of employee.

\*293. Team Leaders Program Subject Files for Industrial Prices. The team leaders for the Industrial Prices Program maintain program subject files covering such activities of OFON as maintaining liaison between Headquarters and Regional Offices of BLS regarding the program; printing, stocking, and distributing the various survey supplies and instructional materials

involved in initiation and collection of price data from sampled establishments; projecting work load requirements and scheduling regional activities for the industrial prices collection work; monitoring progress in completing sample segments or industry collection activities; maintaining controls over communications between Headquarters and Regional Offices; and such other Headquarters - Regional liaison or coordination activities as required.

The files consist of correspondence records, some listing sheets, progress or end of survey reports, and various form records reflecting on the activities involved. An inactive segment of the file is included for the PPIR as well as an active segment. Certain schedule transmittal (SO-3 and 63), problem establishment reports (608), and multi-sic-location establishments reports are intermixed in the files, but are included on this schedule as separate items.

Retention Period. Destroy when five years old or when no longer needed for current business, whichever is sooner, except:

- a. Problem information (608) forms;
- b. Multi-sic-location establishment reports;
- c. Schedule transmittal forms (SO-3, SO-63); for which see separate items included on this Schedule.

#### PPIR RECORDS

\*294. PPIR Collection Schedules Transmittal Lists (SO-3/SO-63) Files. Consist of reference copies of Regional Office prepared forms transmitting to the BLS Central Office documents reflecting the results of field representatives' visits to prospective reporting establishments. The original transmittal forms, with accompanying initiation documents, are forwarded by the Regional Office directly to IPIR and copies of only the transmittal forms are received in OFON. Also included in the files may be copies of Regional Office notifications of the transfer to another Regional Office of responsibility, for visiting a particular establishment (SO-63 forms).

This file is considered confidential as its contents may identify reporting establishments.

Retention Period. Destroy upon close-out of the PPIR sample segment.

\*295. Logs of PPIR Collection Schedules Transmittal Lists. This control file consists of computer preprinted lists (or logs) of establishment numbers for which documents have been mailed to Regional Offices for use in visits for possibly obtaining participation (initiation) of such establishments as reporters in the Producer Prices Program. As OFON receives copies of transmittal lists of collection schedules reflecting the results of the visits (see Item 294), these log sheets are posted to signify that the collection documents were forwarded to the BLS Central Office.

This file is considered confidential, as its contents may identify reporting establishments.

Retention Period. Destroy once all industries in the sample are recycled.

\*296. PPIR Problem Information/Clarification (608 Forms) Files. Consist of copies of communications (usually Form 608) requesting information or clarification of an instruction or addressing a problem pertaining to the Producer Prices Program. Such communications may be originated by either a BLS Central Office organization or by a Regional Office. In either instance, the query is forwarded to OFON which either answers it or, to obtain a solution, forwards a field-originated query to a Central Office organization or a Central Office-originated query to a Regional Office. The response is returned to OFON which, in turn, provides the solution to the originator of the communication, retaining a copy of the query and the response.

Retention Period. Destroy when ten years old or when no longer needed for current business, whichever is sooner.

\*297. Log of PPIR Problem Information/Clarification Requests (608 Forms). Consists of a manual control log of PPIR Information/Clarification Requests (Forms 608) (see Item 296). As the requesting communication is received in OFON, it is posted to the log and a tickler copy of the communication is retained. When the solution is forwarded to inquiring office, the log is posted to that effect. The tickler copy of the query is then destroyed and a copy of the query and solution is filed in the PPIR Problem/Information Clarification (608 Forms) Files (Item 296). File is confidential, as its contents may identify reporting establishments.

Retention Period.

- a. Tickler Copies of Request. Destroy when answered or when no longer required for current business, whichever occurs later.

- b. Logs. Destroy when no longer needed for current business.

\*298. Special PPIR Handling System Data Files. The special handling system for the PPIR sample initiation-collection activities carried out by Regional Representatives consists of two data sets on disk at the central Bureau computer facility covering the active and the inactive follow-up cases involving problem establishments in the industry samples and related programs; various listing sheets reflecting periodic status dumps of the data sets as well as summaries of the cases; and security back-up tapes reflecting disk data set dumps obtained in accordance with standard periodic BLS Computer facility disk-to-tape back-up procedures.

The active follow-up problem establishment data set is updated by Regional or Headquarters office inputs to document the status of actions taken to determine the possible reporting capability of the problem sampled establishments. As of the date the determinations as to the final status of the establishments are made, the cases are considered closed, and the data on the closed establishments are transferred to the inactive master file data set.

Retention Period:

- a. Inactive Master Data Set. Scratch when no longer needed for current business.
- b. Listing sheets reflecting status or summaries of active-master data sets. Destroy when replaced by updated version or when no longer needed for current business, as appropriate.
- c. Active data set. Scratch when system is replaced or terminated.
- d. Disk-to-tape security back-up tapes. Scratch when superseded by later backup tape.

\*299. PPIR Repricing Field Follow-Up System Data Files. As of 1984, the PPIR Repricing Field Follow-up System of OFO was discontinued and follow-up of problem repricing establishments was made the responsibility of the Industry Analysts of DIPPI.

At the time of this writing, the files consist of tapes at the central Bureau computer facility containing the contents of the active problem-establishment data set as of February 1984 when the system was discontinued, as well as the contents of the



master inactive data set as of the same time; and listing sheets reflecting the status of the active and inactive master data sets at the time of discontinuance of the system.

Retention Period. Destroy when no longer needed for current business.

\*300. PPIR Central Office Clearance System for Reported Price Information Files. The Central Office Clearance System involves multi-establishment reporting firms that require coordination of the Central Office to determine the most effective method of repricing reporting by such firms, which will involve locations in more than one BLS region. The system files include copies of SO-10 Central Office clearance forms sent in by the Regions arranged alphabetically by company, and a data set maintained on disk at the Central Bureau Computer Facility identifying such firms and including related programs as well as listing sheets reflecting periodically the status of the Central Office clearance data set. In accordance with uniform disk backup procedures of the computer facility, disk-to-security tape dumps will be made periodically.

Retention Period. Destroy when superseded or updated, or when no longer needed for current business, as appropriate.

\*301. PPIR Regional Establishment Refusal Report File. This file consists of reported refusals from establishments included in an industry sample to serve as producer price reporters. The negative results of the regional representatives' contacts are documented for each establishment included in this file, numerically arranged by 4-digit SIC number. The information in the file can be of use when recycling the sample for the industry concerned.

Retention Period. Destroy refusals for a particular industry after recycling of the industry sample has been completed.

\*302. PPIR Regional Office Printing Control Files. As part of its Headquarters - Regional Office liaison function, the PPIR team is responsible for the printing and distribution of instructional and explanatory materials involved in the PPIR Program sent from Headquarters offices to Regional Offices. The PPIR Regional Printing control file is maintained in envelopes containing the original and the negatives of PPIR instructional or explanatory materials sent to the Regions, such as industry checklists, industry synopses, OFON operating instructions for sample segments, DIPPI quarterly newsletters, basic manuals and manual updates covering the collection manual and the APPRISE Field Manual, technical memoranda, and the like.

Except for the Operating Instructions, the record copy of these various issuances is maintained primarily by the Planning and Procedures Branch, IPIR, which serves as the primary preparing organization for the PPIR program issuances.

Retention Period. Destroy when five years old or when no longer needed for current business, whichever is sooner.

303. Record Copy of PPIR Operating Instructions. Detailed instructions are prepared and issued by OFON covering the release to the Regional Offices for initiation of establishments of sample segments covering some 20-25 4-digit SIC industries. These instructions pertain primarily to the Administrative details involved in describing the collection materials released, the collection of the initial pricing data by Regional Offices at sampled establishments, and the return of the initiation schedules to headquarters offices.

The file consists of two binders. One contains the record copy of the earlier issuances, in which a separate operating instruction was issued for each numerical sample segment. The other binder, at the time of this writing, contains a manualized version of the operating instructions.

The file dates from 1978 to date, and volume and accretion are negligible. The earlier operating instructions are arranged numerically by assigned sample segment number.

Retention Period. Permanent. Offer for transfer to the Archives of the United States in five-year blocks when the latest record is twenty years old.

\*304. PPIR Sample Segment Listing Files. Consist of reference copies of thick computer printouts for the most current sample segments and microfiche for the earlier sample segments covering each 4-digit PPIR industry sample.

The printouts or microfiche list each prospective reporting establishment of a 4-digit industry for which initiation documents are furnished Regional Offices for use in contacting establishments to obtain participation in the PPIR program. The record copy of such listings is maintained by the Statistical Methods Division and in machine readable format by IPIR.

Arranged by numerical sample segment and by 4-digit SIC thereunder.

Retention Period. Destroy when replaced by updated recycled sample listings for particular industries covered.

\*305. Reference Copy of Industry Checklists - Synopses. A reference set of printed copies of Industry Checklists and Industry Synopses is maintained in binders for convenience of access in connection with the establishment initiation work for the PPIR.

Retention Period. Destroy when superseded by recycling activities.

\*306. PPIR Printout-Listing Sheet Files. Several different types of printouts reflecting various data sets are maintained by the PPIR team. They include such listings as reference copies of various system requirements or data dictionaries such as for the sample or collection systems maintained for ease of access; various charts or computer-prepared reports on percentage of completion of PPIR collection activities on sample segments; reference copies of weekly SO-4 progress reports involving the PPIR segment of this system; copies of listing sheets reflecting the status of progress in carrying out field follow-ups under the discontinued repricing field follow-up system; and various other listing sheets as required involving the establishment of PPIR Regional work load projections, scheduling of completion of initiation collection activities, monitoring the progress of completion, and the like.

Retention Period. Destroy when superseded or when five years old or no longer needed for current business, whichever is sooner.

### IPP RECORDS

307. Record Copy of International Price Program Operations Memorandums. The Office of Field Operations issues an IPP Operations Memorandum for each new sample of prospective reporting establishments transmitted to the Regions. The Operations Memorandum is a means of conveying to the Regions information (primarily administrative in nature) pertinent to the sample for which it was written. An Operations Memorandum may include such information as a list of the sample materials being issued to the field; milestone dates for sample completion; IPP index publication goals; resources and progress reporting requirements; special data collection procedures; and other instructions as appropriate.

This very small file contains the record copy of these directives dating from 1977 to date. It is arranged chronologically in one 3-ring loose-leaf binder and accretion is negligible. Typically, two Operations Memorandums are issued per year.

Retention Period.

- a. Record copy set. Permanent offer for transfer to the Archives of the United States in five-year blocks when the most recent record is twenty years old.
- b. Other copies. Destroy when no longer needed for current business.

\*308. IPP Collection Schedules Transmittal Lists (SO-3) Files. These files consist of reference copies of Regional Office prepared forms transmitting to the BLS Central Office documents reflecting the results of field representatives' visits to prospective reporting establishments. The original transmittal forms, with accompanying initiation documents, are forwarded by the Regional Office directly to the Division of International Prices and only copies of the transmittal forms are received in OFON. The files may include copies of Regional Office notifications of the transfer to another Regional Office of responsibility for contacting a particular establishment.

This file is considered confidential as its contents would identify reporting establishments.

Retention Period. Destroy three years after close of initiation collection activity for the IPP sample.

\*309. IPP Schedule Control Machine Listings. Consist of reference copies of computer printouts for each IPP sample. The printouts list each prospective reporting establishment for which initiation documents are furnished Regional Offices for use in contacting the establishment for obtaining participation and for reporting the results thereof to the Central Office.

This file is considered confidential as it would identify reporting establishments.

Retention Period. Destroy five years after close of initiation collection activity for the IPP sample.

\*310. IPP Special Handling System Files. The special handling system for the International Price Program (IPP) sample initiation collection activities carried out by Regional Offices

consists of two data sets and related programs on disk at the Central Bureau computer facility, covering the active and inactive cases involving problem establishments in initiating the IPP export and import samples. In addition, there are weekly printout sheets reflecting current status of the data sets as well as summaries of the cases, and security backup reflecting disk data set dumps obtained in accordance with periodic BLS computer facility disk-to-tape backup procedures.

The active problem establishment data set is entered by OFON by remote terminal and may be updated by Regional or OFON inputs to document the status of actions taken to determine the reporting participation of the problem sampled establishment. As of the date the determination as to the final status of the establishment is made, the case is considered closed, and the data on that establishment are transferred to the inactive master file data set.

Retention Period.

- a. Inactive Master Data Set. Scratch when no longer needed for current business.
- b. Listing Sheets Reflecting Status or Summaries. Destroy when replaced by updated version or when no longer needed for current business, as appropriate.
- c. Active Data Set. Scratch when system is replaced or terminated.
- d. Disk-to-Tape Backup Tapes. Scratch when superseded by later backup tape.

\*311. IPP Problem Information/Clarification (608 Forms) Files. These files include copies of communications (such as Form 608) requesting information or clarification of an instruction, or addressing a problem pertaining to some aspect of the International Price Program. Such communications may be originated by either a BLS Central Office organization or by a Regional Office. In either case, the query is forwarded to OFON which either answers it or, to obtain a solution, forwards a field-originated query to a Central Office organization or a Central Office-originated query to a Regional Office. The response is returned to OFON which, in turn, provides the solution to the originator of the communication, retaining a copy of the query and the response.

OF/ON maintains manual control logs and tickler file copies of pending requests. After a final reply is sent to the inquiring office, the tickler copy is destroyed and a copy of the original query together with the response is retained.

Retention Period.

- a. Logs and Copies of Final Response. Destroy when 10 years old or when no longer needed for current business, whichever occurs sooner.
- b. Pending Requests Tickler Files. Destroy tickler copy when answered or when no longer needed for current business, whichever occurs later.

312. IPP Weekly Progress or Other Weekly Status Reports Files. Consist of computer printouts, manual tabulations, and related materials reflecting the progress of Regional Offices' data collection activities pertaining to the International Price Program samples of prospective reporting establishments. The printouts contain summary data by IPP sample and BLS Region. Weekly summary data may also be compiled manually by OFON staff.

The computerized Regional Office Reporting (SO-4) System provides the data base for the printouts. For the SO-4 System, input data are obtained via the Regional Network or by telephone and inputted to the SO-4 data base by OFON staff, using terminals in the office. For the IPP it is planned that this progress reporting activity will be phased out of the SO-4 System to the Automated Regional Tracking System (ARTS) beginning in August 1985. The ARTS data base is covered in Item 45 of this Records Schedule. The SO-4 System is covered in the Records Schedule for the Wages and Industrial Relations Statistical Program.

Retention Period. Destroy when eight years old or when no longer needed for current business, whichever occurs sooner.

313. IPP Workload Projections Machine Listings. Consist of reference copies of monthly machine printouts reflecting the projected and progress statuses of each IPP export and import sample in process of field initiation data collection or for future fielding. Both Regional Office and Central Office inputs are involved as to the appropriate scheduling of the various sample data collection activities of the Regional Offices, with personnel hours and target dates for starting and completing of collection for each sample being indicated. The report is updated monthly.

Record copies of the printouts are maintained in the Regional Progress reporting files of the Division of Field Collection Activities, which are covered in the Records Schedule for the Wages and Industrial Relations Statistical Program.

Retention Period. Destroy when four months old.

314. IPP Structural Schedule Review Task Force Files. As of this writing, the OFON IPP Team Leader serves also as a member and leader of the IPP Structural Schedule Review Task Force, a BLS inter-office group. The mission of the Task Force is to establish a computerized system which will analyze initiation schedule input errors to determine error sources and develop recommendations for such action as may be appropriate. The implementation of recommendations could result in policy or procedural changes which will be issued in such media as the IPP Collection Manual, Operations Memorandums, Technical Memorandums, correspondence, or the like.

These files consist of such documents as minutes of Task Force meetings, background and reference materials, working notes, and the like.

Retention Period. Destroy when five years old or when no longer needed for current business, whichever occurs sooner.

\*315. IPP Repricing Field Follow-up Control Records. Although the normal IPP quarterly repricing procedure is for the BLS Central Office (IPIR) to mail the repricing schedules direct to the participating establishments, the schedules for some businesses are referred by OFON to Regional Offices for contact by them with the reporter. These files contain manual registers of such schedules that have been transmitted to Regional Offices each quarter and provide a follow-up control tool regarding return of the schedules to the Central Office. The files also contain working notes, related correspondence, and the like.

Retention Period. Destroy when two years old or when no longer needed for current business, whichever occurs sooner.

\*316. Microfiche Copies of IPP Machine Listings Files. Consist of inactive reference files of computer output microfiche (COM) copies of machine printout listings of export and import establishments. Included are such listings as those of companies in selected export and import samples of prospective reporting establishments as well as cumulative (called DIPALL) listings of companies which are reporting export or import price data, or have in the past, or which were contacted for possible participation as pricing data reporters but did not become reporters.

Reception of the COM reference listings by OFON has recently been discontinued.

These files are considered confidential, as their contents identify reporting establishments.

Retention Period. Destroy when no longer needed for current business.

**RECORDS COMMON TO ALL OFFICES**  
**BRANCH OF INDUSTRIAL PRICES PROGRAMS AND CPI**  
**PROCESS AUDITS**

317. Technical Reference/Working Files. These are extra copies, printed materials, and working paper files of Branch personnel covering their particular assigned program areas as well as statistical procedures and methodology and computer technology and the like. Included are extra copies of correspondence pertaining to assigned surveys.

Retention Period. Destroy when superseded, obsoleted, or no longer required for current business.

318. Intermediate Printouts, Job Runs, Worksheets. In carrying out the program of planning, scheduling, and directing directly-collected surveys with Regional Offices, Branch personnel obtain printouts or various other job run listings from off-premise data processing facilities, typically of an intermediate nature. These listings cover the planning, scheduling, and monitoring of survey data collection and other survey related operations at Regional Offices. The worksheets or listings, pertaining to surveys, can be either machine processed or manually prepared and related primarily to the progress of survey operations, the scheduling of Regional manpower to particular surveys, the planning or projection of Regional personnel to surveys throughout a year, accounting for actual survey data collection Regional activities, and the like.

The machine listings or manual tabulations of this item include only those not covered by other specific items of the Schedule pertaining to this revision.

Retention Period. Destroy when all essential information has been analyzed, tabulated, or published, or when obsoleted and revised, as appropriate.

319. Computerized Reporting Systems Intermediate Machine Processing Files. Processing tape or disk files as defined by GRS Schedule 20 pertaining to the various computerized reporting systems used by the Branch such as work files, test files,



intermediate input/output files, input source files, valid transaction files, special request files, and the like not covered by other specific items of the Schedule.

Retention Period. Apply the retention periods of GRS 20, Part II, Items 1-14, as applicable. (See page 179 of this Records Schedule.)

Pages 176 - 178 Reserved

**EXCERPT FROM NATIONAL ARCHIVES AND  
RECORDS ADMINISTRATION (NARA) GENERAL RECORDS  
SCHEDULE 20 COVERING PROCESSING  
(INTERMEDIATE) MACHINE-READABLE AND RELATED RECORDS**

The following records disposition authorities cover processing or intermediate machine-readable and related files and were issued in General Records Schedule 20 of NARA. They relate to such files as work files, test files, input source files, intermediate input/output files, valid transaction files, and the like that have not been specifically listed in this Schedule as separate items in the segments covering machine-readable records.

These disposition authorities of General Records Schedule 20 have been referred to in several items of this Schedule.

PART II: PROCESSING FILES

Item	File function/ designation	Consisting of	Which are	Then
1	Work file	new media, or media not included in a library control system, or files whose retention dates have expired	used by computer operators to facilitate the processing of a specific job and/or system run	Available for immediate use or reuse
2	Test file	data used in testing a system	routine or benchmark data sets constructed or used for the purpose of testing	Dispose of when no longer needed
3	Input/Source file	data abstracted from input/source documents or other media and entered into the system for each update cycle	converted to magnetic media	Dispose of after verification of data on related magnetic media
4			used for updating and required to support reconstruction of a master file	Dispose of after three or more update cycles
5			not used as input to a master file and not required to reconstruct a master file	Submit SF 115, Request for Records Disposition Authority

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PART II: PROCESSING FILES

Item	File function/ designation	Consisting of	Which are	Then
6			retained by ADP operational elements as backup to magnetic media	Dispose of when no longer needed
7			officially designed to replace or serve as the record copy in lieu of the hard copy or other input/source document	Dispose of in accordance with instructions applicable to the hard copy
8		data created by another agency <sup>1</sup>	files that the creating agency routinely made available to other agencies or to the public	Dispose of as reference material
9			the result of a request of the receiving agency for a special tabulation, extract or master files designed to meet the needs of the receiving agency	Submit SF 115, Request for Records Disposition Authority

<sup>1</sup>/If the receiving agency reformats, edits, merges, analyzes, summarizes or otherwise processes the data in a file from another agency, then the files created during such processing are files of the receiving agency. The receiving agency should schedule the resulting files according to the appropriate category in Part I, Master File.

PART II: PROCESSING FILES

Item	File function/ designation	Consisting of	Which are	Then
10		punched cards that contain original entry with film or written inserts (such as aperture cards)	source documents	Dispose of in accordance with instructions applicable to the hard copy
11	Intermediate input/output file	data that is manipulated, sorted, and/or moved from one run to a subsequent run	used in the process of creating or updating a master file	Dispose of after master file has been proven satisfactory
12	Valid transaction file	data used with a master file for creation of an updated master file	used for independent analysis	Submit SF 115, Request for Records Disposition Authority
13			not used for independent analysis	Dispose of after three or more updated cycles
14	Audit trail file	"statistical" data generated during the creation of a master file	used to validate a master file during a processing cycle	Dispose of in accordance with instructions for each appropriate cycle of the master file

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