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Deputy Associate Director for
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Editor of Statistical Reporter

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The National Crime Surveys: An Evaluation

Maurice E. B. Owens

The purpose of this paper is to provide a description of *Surveying Crime*,¹ a report recently completed by the Panel for the Evaluation of Crime Surveys of the Committee on National Statistics, National Academy of Sciences. Although the title refers to crime surveys in general, the subject of the report is devoted exclusively to a particular set of victimization surveys with the focus on validity and utility of the resultant data.

The victimization survey is a relatively new method of obtaining data on the incidence of certain crimes through personal interviews. Traditional statistics on crime are collected through administrative channels, but the victimization survey statistics are based on sequences of questions asked of household members and of individuals acting as informants for commercial establishments. The questions are designed to identify personal experiences and other events that can be classified as involving one or more of a number of specific crimes, irrespective of whether the incidents were known to police authorities.

Surveying Crime may be of interest to a larger audience than that to which it was specifically addressed, in that the particular set of victimization surveys evaluated by the Panel have numerous aspects common to other large-scale, social surveys conducted by Federal Government agencies. The Panel's recommendations, consequently, could have implications for other such surveys aside from those which were evaluated.

*The National Crime Surveys*²

In the latter half of 1972, the Law Enforcement Assistance Administration (LEAA), with the cooperation of the Bureau of the Census, instituted the National Crime Surveys (NCS). The general term NCS refers to a collection of surveys that comprises surveys of households

and business establishments. Household members are asked about experiences related to rape, robbery, assault, larceny, burglary and auto-theft; persons acting as informants for business establishments are asked about burglary and robbery incidents. With respect to population samples, the NCS includes four kinds of separate surveys: a national sample of 60,000 households, a national sample of 39,000 commercial (i.e., business) establishments, samples of 10,000 households within specified municipal city limits, and corresponding samples of 1,000 to 5,000 commercial establishments in the same cities. The national surveys are based on a panel design with interviews conducted at 6-month intervals, but the city-level surveys have been either single-time or intermittent efforts. Thus far, 26 cities have been surveyed at least once.

Although social science surveys have been in use for several decades, the victimization survey technique in particular must be regarded as a relatively new vehicle both from the standpoint of substance and from the standpoint of methodology. The first victimization surveys were conducted under the sponsorship of the 1966 President's Commission on Law Enforcement and Administration of Justice³. Based on the experience gained through those surveys, the Commission stated "the [victimization] sur-

¹ *Surveying Crime*, Panel for the Evaluation of Crime Surveys, Committee on National Statistics, Assembly of Mathematical and Physical Sciences, National Research Council. Bettye K. Eidson Penick, ed., and Maurice E. B. Owens, III, assoc. ed. (National Academy of Sciences, 1976; 263 pp.; ISBN 0-309-02524-9; \$11.00).

² Functionally, the evaluation ended in March, 1976. Any changes in the NCS implemented since that date are not accounted for in this article.

³ President's Commission on Law Enforcement and Administration of Justice, *The Challenge of Crime in A Free Society* (Washington, D.C.: U.S. Government Printing Office, 1967).

vey technique has a great untapped potential as a method for providing additional information about the nature and extent of our crime problem. . . ."⁴ The Commission noted, nonetheless, that the approach requires further methodological research.⁵ A number of the identified problems were presented in Commission reports⁶ and in the literature⁷.

The 1966 victimization surveys provided the framework from which the LEAA and Census staffs approached the task of designing and implementing the NCS. Actual fieldwork was preceded by 2 years of pretests and pilot investigations. Undoubtedly, these efforts resulted in a better NCS than would otherwise have been the case. Because the same activities uncovered a number of problems with the NCS version of the victimization survey method, the investigative work also could result in long-term improvements as well as criticisms. The two staffs should be commended for their work.

The Evaluation Panel

At the request of the LEAA's Statistics Division, the Committee on National Statistics of the National Academy of Sciences formed the Panel for the Evaluation of Crime Surveys in 1974 to review and evaluate the NCS. The 10-member Panel included representatives of the following disciplines: criminology, demography, economics, law, law enforcement and law administration, political science, psychology, sociology, and statistics (a list of Panel members, staff and consultants is included at the end of this article).

The Panel's charter was divided into two parts. First, the NCS was evaluated as an ongoing statistical survey in terms of its completeness, accuracy, reliability, analysis, and dissemination. In the second part of the study, longer-range issues were addressed. The Panel assessed the substantive utility of the NCS findings and proposed future directions the program should take to improve the usefulness of the results.

The Panel's approach to the study is described in the following passage quoted from *Surveying Crime*.

While we hope that many aspects of this report will be applicable to the range of decisions that the sponsoring unit of LEAA will face in the next few years, our evaluation has focused far more on areas requiring long-term planning and assessment than on day-to-day issues that arise in the management of any large-scale survey. Our evaluation has not been structured by the sponsoring

agency in terms of the areas we have chosen to emphasize. Neither have we adjusted our recommendations in recognition of agency constraints of personnel, budget, and other plateaus. In short, we were invited to evaluate the NCS, independently and as objectively as possible. We were not asked to provide consultation on issues as defined by the sponsor nor on how best to accommodate a given set of bureaucratic constraints. And we have not.

The one respect in which this report is influenced heavily by the sponsoring agency is the directness of the criticism of its version of a victim survey. Because the report is addressed primarily to individuals who are responsible for the continued development of the NCS, we have not conducted a broad review of the criminological literature, held symposia on crime control, invited experts to draft working papers on issues of measurement, and so forth. We have not because at this stage the experts on victim surveys in this country and internationally are the individuals to whom this report is addressed. The intellectual terrain is uncharted. Our role has been to track these individuals across it, to reconstruct their decisions, to consider their options, to identify issues that crosscut the many components of this complex survey operation, and to make specific recommendations, if warranted.

Hence, the criticisms raised in this report are addressed to a highly professional audience and one not bound in any way to accept our assessments or recommendations, as is appropriate when one set of professionals invites another to render an independent judgment.⁸

The Evaluation

By the time of the Panel's first meeting in June of 1974, the NCS field activities had been underway for 2 years. During the 2-year evaluation, the Panel and its staff had the opportunity to investigate both the early stages of the effort retrospectively and the then current operation at a time when policy decisions were being made that would affect the NCS for years to come.

What the Panel found initially was that perhaps the largest and one of the most innovative modern social surveys undertaken by the

⁴ *Ibid.*, p. 22.

⁵ *Ibid.*, p. 31.

⁶ President's Commission on Law Enforcement and Administration of Justice, *Task Force Report: Crime and Its Impact—An Assessment* (Washington, D.C.: U.S. Government Printing Office, 1967) and references cited therein.

⁷ See for example, Albert D. Biderman, "Surveys of Population Samples for Estimating Crime Incidents," *The Annals of the American Academy of Political and Social Sciences*, 374 (November 1967), pp. 16-33.

⁸ *Surveying Crime*, *op. cit.*, pp. iv-v.

Federal Government had been conceived, designed, pretested, and operationally placed in the field in the elapsed time of approximately 2½ years. This in itself was a major accomplishment, especially when one considers the circumstances under which this development effort was conducted. For instance, the effort was spearheaded by at most several, albeit highly competent, survey statisticians within the sponsoring agency and the Bureau of the Census, but at the outset, there was a lack of in-house victimization surveying expertise. This limited staffing was a primary difficulty aside from the inherent, formidable problems in launching any large statistical survey. Such surveys involve numerous analytical and substantive operational decisions that must be made in some cases without the benefit of empirical evidence or sufficiently detailed survey objectives.

The Panel further found that "the design of the NCS generally is consistent with the objective of producing data on trends and patterns of victimization for certain categories of crime."⁹ The group, however, cautioned that "conceptual, procedural, and managerial problems limit the potential of the NCS" but "that, given sufficient support,¹⁰ the problems ought to be amenable to substantial resolution in the long run."¹¹

Equally important are two other general findings. As noted previously, there were intensive research programs conducted during the developmental stages of the NCS, but during the first 3 years of field activity, the level of these efforts declined sharply, although there was some evidence that NCS research and evaluation efforts at the Census Bureau had been reactivated in the latter part of 1975. The second finding relates to the fundamental objectives of the NCS. "The primary uses envisioned originally for the NCS were of a social and policy indicator nature."¹² In the Panel's view, these uses are appropriate and justified, but they are contrary to an inappropriate "subsequent objective of producing operating intelligence for jurisdictions." That is, a survey by itself cannot be expected to guide police departments in day-to-day operations, except "insofar as operating intelligence is a by-product of understanding trends and patterns of victimizations."¹³

As for more specific major findings and recommendations, a complete list is not given here;

the emphasis here is on the central focus of groups of recommendations that have major implications for other surveys of this magnitude.

Based on an analytical assessment alone, the Panel stated that "the survey design and the sampling and estimating schemes are among the most complex and elaborate in the social science field."¹⁴ Nonetheless, given the content of the NCS, there are serious technical difficulties in the measurement of the relatively rare and ill-defined events. For example, there are numerous telescoping and memory decay factors, and these are coupled with differentials in underreporting of victimization events that vary substantially across categories of respondents, categories of crimes, and categories of offenders. A number of these problems were addressed in the work that preceded NCS field activities,¹⁵ but many issues remain to be resolved. The Panel recommended, therefore, that a number of specific methodological investigations be undertaken¹⁶ that would provide a more informed basis for future technical decisions.

One technical area, inseparable from the factors cited above, is the survey questionnaire. An entire chapter¹⁷ in *Surveying Crime* is devoted to the topic, and it is suggested therein that major modifications of the instruments should be considered. For instance, there is a lack of what can be regarded as independent variables that are related directly to the phenomena of victimization. In particular, measures of "opportunity" and "vulnerability" do not exist in the current household instruments, but if present, the analysis potential of the resultant survey data could be greatly enhanced. The design of other aspects of the instruments appear to be complicated unnecessarily by incorporating concepts

⁹ *Ibid.*, p. 3.

¹⁰ The use of the term "support" refers to a commitment on the part of the sponsoring agency and is not intended to have fiscal connotations in the sense of additional funds.

¹¹ *Surveying Crime, op. cit.*, p. 3.

¹² *Ibid.*, p. 4.

¹³ *Ibid.*

¹⁴ *Ibid.*, p. 8.

¹⁵ *Ibid.*, Chapter 3.

¹⁶ *Ibid.*, Chapter 5.

¹⁷ *Ibid.*, Chapter 6.

utilized in the *Uniform Crime Reports* compiled and published by the Federal Bureau of Investigation. There are serious questions as to whether this complexity contributes to the validity of survey data. This is an important consideration in that the NCS is not intended to compete with the UCR.

Another illustration of the proposed modifications is related to "series victimizations." If a respondent recounts a set of at least three victimizations, this set of victimizations is classified as one series victimization whenever the victimizations are "similar" and the respondent cannot recall certain details, in particular the dates of the events.

For instance, if a household member recalls being assaulted five or six times and if the individual cannot remember the specific months in which the incidents occurred, then all of these assaults are classified as one series incident. Analysis by the Panel showed that in the case of aggravated assaults the separate counting of victimizations within series in basic totals would increase the victimization rate by possibly 70%.¹⁸ Clearly, the wisdom of counting only the aggregations is in question.

Perhaps the most important set of findings and recommendations pertains to issues that can be traced to the policy-level management of the NCS. The basic administrative arrangements in this case are common to a number of other large-scale Federal surveys. The LEAA is the survey sponsor, and the Bureau of the Census is the data collection agent. The Bureau provides the field staff, data processing, and technical expertise in both the design and operation of the surveys. It is the sponsor's responsibility to furnish sufficiently detailed and informed objectives and to monitor and to guide the survey to assure that the substantive objectives are or will be satisfied. Although both agencies have a role in the decision process, the ultimate decisions are made by the sponsor.

The entire task of managing and operating the NCS has been delegated to the equivalent of approximately three full-time LEAA professionals. This level of personnel is inadequate to control and direct a survey effort costing some \$10 million per year, and it is in sharp contrast to personnel commitments made by other agencies for similar activities. Under these circumstances, there is little time or energy to devote

to anything beyond day-to-day operations. Accordingly, the Panel stated

We recommend that the staff providing managerial and analytic support for the NCS be expanded to include the full-time efforts of at least 30 to 40 professional employees. Without this expansion, the NCS cannot be developed to achieve its potential for practical utility.¹⁹

The staffing situation has had a number of major ramifications. For example, there was insufficient analytical capability within the LEAA²⁰ to produce routine reports on the NCS and other LEAA-sponsored surveys. Consequently, the Bureau of the Census created and staffed the Crime Statistics Analysis Group to provide this essential function. Members of this group have developed an expertise in the survey substance and more recent NCS reports show substantial improvement over earlier ones. Their work has resulted in a number of identifiable problems and tentative solutions²¹ which the Panel endorsed. One possible reason why the analysis group's recommendations were not implemented by LEAA during the course of the evaluation is that there is a large administrative distance between these Census employees and those in authority at the LEAA.

Two remaining central policy recommendations relating to the management of the NCS address the independence of the city- and national-level surveys and the commercial surveys. The city-level surveys, both household and commercial, are based on samples confined to the municipal city limits, and furthermore, use different methodologies from the national survey (e.g., single interview versus panel design and a reference period of 12 months versus 6 months). These differences alone render comparisons between city- and national-level results questionable. More importantly, the populations sampled in the city surveys, at least for certain crime categories, are not the same as the populations at risk since, for instance, they exclude commuters and visitors, and all reported victimization events reported by city

¹⁸ *Ibid.*, p. 122.

¹⁹ *Ibid.*, p. 52.

²⁰ This fact has been noted in "Criminal Justice Statistics," *Statistical Reporter*, February 1977, pp. 162, 169.

²¹ For documentation, see *Surveying Crime, op. cit.*, Appendix A.

Panel for the Evaluation of Crime Surveys

MEMBERS

Conrad F. Taeuber (*Chairman*), *Georgetown University (Demography)*

Albert D. Biderman, *Bureau of Social Science Research (Sociology)*

* Abraham S. Goldstein, *Yale University, (Law)*

Herbert Jacob, *Northwestern University (Political Science)*

William M. Landes, *University of Chicago (Economics)*

Philip J. McCarthy, *Cornell University (Statistics)*

Patrick V. Murphy, *Police Foundation (Police Administration)*

* Orlando H. Patterson, *Harvard University (Sociology)*

Morris Rosenberg, *University of Maryland (Sociology)*

Marvin E. Wolfgang, *University of Pennsylvania (Sociology)*

STAFF

Bettye K. Eidson Penick, *Staff Director (Sociology)*

Maurice E.B. Owens, III, *Staff Officer (Statistics)*

CONSULTANTS

Walt R. Simmons, *National Academy of Sciences (Statistics)*

Richard F. Sparks, *Rutgers University (Criminology)*

* Unable to serve full terms

residents which do not occur within the city limits. Based on these and other considerations, the Panel agreed that the two surveys should be consolidated into one integrated program. Specifically, the Panel members recommended that

approximately five cities should be surveyed with the same methodology employed in the national effort, and that local coverage should be expanded to include the entire Standard Metropolitan Statistical Area.²²

The utility of commercial surveys, both at the city and national level, was judged to be limited in two respects. First, the content coverage has been restricted to two crime categories, burglary and robbery, and according to survey estimates, these commercial crimes are reported to police with a fairly high frequency. For this reason and because all but highly aggregate estimates were found to have large sampling errors, the Panel agreed that for the commercial surveys routine data collection should be suspended, pending a restatement of objectives and further experimental and exploratory work.²³

In *Surveying Crime*, many more topics are examined than cited here, including, for example, needs for local area data and an evaluation of the analysis and dissemination of NCS results. The report also contains perspectives on more fundamental issues: Are the NCS data valid? Are they reliable? Are they useful? These complex questions are not addressed here. Instead, interested parties are invited to read *Surveying Crime* and draw their own conclusions.

²² *Surveying Crime*, *op. cit.*, pp. 55-56

²³ *Ibid.*, p. 60

Race and Ethnic Standards for Federal Statistics and Administrative Reporting

KATHERINE K. WALLMAN

Statistical Policy Division, Office of Management and Budget

and

JOHN HODGDON

Office for Civil Rights, Department of Health, Education, and Welfare

On May 12, 1977, the Office of Management and Budget issued Revised Exhibit F to OMB Circular No. A-46. This exhibit sets forth standard race and ethnic categories and definitions for Federal statistics and administrative reporting. The issuance of the revised exhibit culminates a multiyear interagency effort to standardize the collection and publication of data on race and ethnicity by the Federal Government.

Background

More than 3 years ago, several Federal agencies responsible for the collection of information from education agencies and institutions recognized that their reporting requirements with respect to racial and ethnic data, while essentially similar, were marked by minor differences in categories and definitions. These variations resulted in increased burden on the respondents, who were forced to maintain separate records to meet each of a number of Federal agency requirements, as well as in noncomparability of data across Federal agencies. Under the auspices of the Federal Interagency Committee on Education (FICE), a task group was formed to develop a single set of racial and ethnic categories and definitions to be used in reporting from education agencies and institutions. In Spring 1975, agreement was reached by the Office of Management and Budget (OMB), the General Accounting Office (GAO), the DHEW Office for Civil Rights, and the Equal Employment Opportunity Commission to use the draft FICE categories for a trial period of at least 1 year. This trial was undertaken to

test the new categories and definitions and to determine what problems, if any, would be encountered in their implementation.

At the end of the test period, OMB and GAO convened an *Ad Hoc* Committee on Racial/Ethnic Categories to review the experience of the agencies which had implemented the standard categories and definitions and to discuss any potential problems which might be encountered in extending the agreement to all Federal agencies. This Committee, which met in August 1976, included representatives of OMB, GAO, the Department of Justice, the Department of Labor, the Department of Health, Education, and Welfare, the Department of Housing and Urban Development, the Bureau of the Census, and the Equal Employment Opportunity Commission. Based upon the discussion in that meeting, the Office of Management and Budget prepared minor revisions to the FICE definitions and circulated the proposed final draft for agency comment. These revised categories and definitions became effective in September 1976 for all compliance recordkeeping and reporting required by the Federal agencies represented on the *Ad Hoc* Committee. Because many of the affected agencies already had forms in the field, and because lead time was required for respondents to change their recordkeeping systems, it was agreed that the changes would be implemented when existing forms were submitted for extension, or when new or revised forms were submitted for clearance. Changes were not required on forms which had already been approved for use until such documents were revised or expired.

Revision of Exhibit F, Circular No. A-46

Based upon the interagency agreement, the Statistical Policy Division of the Office of Management and Budget initiated action to revise exhibit F to OMB Circular No. A-46 to formalize and extend the standardization of racial and ethnic data collection and presentation. The draft exhibit was distributed for review to participants in the *Ad Hoc* Committee, as well as to other agencies which had expressed interest in its contents. Following receipt of comments and incorporation of suggested modifications, the exhibit was prepared in final form. On May 12, 1977, the revised exhibit was signed by the Director of the Office of Management and Budget and issued to the heads of executive departments and establishments.

Revised exhibit F was prepared and issued to standardize racial and ethnic data which are collected and published by Federal agencies. The exhibit provides standard classifications for recordkeeping, collection, and presentation of data on race and ethnicity in Federal program administrative reporting and statistical activities. The following lists the highlights of revised exhibit F:

- Revised exhibit F provides, for the first time, standard categories and definitions for use at the Federal level in reporting on racial and ethnic groups.
- The provisions of revised exhibit F extend, in general, to all forms of Federal recordkeeping and reporting which involve the collection and presentation of racial and ethnic data.
- Revised exhibit F provides a minimum standard, which can be adapted by individual agencies which need more detailed data for specific purposes.
- The requirements of revised exhibit F extend beyond presentation of data to the recording and collection of information.
- Revised exhibit F is effective immediately for all new or revised recordkeeping and reporting. All existing data collections must be made consistent with the exhibit at the time they are submitted for renewal of clearance, or not later than January 1, 1980.

The full text of revised exhibit F is reprinted below.

REVISED EXHIBIT F RACE AND ETHNIC STANDARDS FOR FEDERAL STATISTICS AND ADMINISTRATIVE REPORTING

Purpose: This exhibit provides standard classifications for recordkeeping, collection, and presentation of data on race and ethnicity in Federal program administrative reporting and statistical activities. These classifications should not be interpreted as being scientific or anthropological in nature, nor should they be viewed as determinants of eligibility for participation in any Federal program. They have been developed in response to needs expressed by both the executive branch and the Congress to provide for the collection and use of compatible, nonduplicated, exchangeable racial and ethnic data by Federal agencies.

Definitions: The basic racial and ethnic categories for Federal statistics and program administrative reporting are defined as follows:

1. *American Indian or Alaskan Native.* A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.
2. *Asian or Pacific Islander.* A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes, for example, China, India, Japan, Korea, the Philippine Islands, and Samoa.
3. *Black.* A person having origins in any of the black racial groups of Africa.
4. *Hispanic.* A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.
5. *White.* A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.

Utilization for Recordkeeping and Reporting: To provide flexibility, it is preferable to collect data on race and ethnicity separately. If separate race and ethnic categories are used, the minimum designations are:

- a. Race:
 - American Indian or Alaskan Native
 - Asian or Pacific Islander
 - Black
 - White

b. Ethnicity:

—Hispanic origin

—Not of Hispanic origin

When race and ethnicity are collected separately, the number of White and Black persons who are Hispanic must be identifiable, and capable of being reported in that category.

If a combined format is used to collect racial and ethnic data, the minimum acceptable categories are:

American Indian or Alaskan Native

Asian or Pacific Islander

Black, not of Hispanic origin

Hispanic

White, not of Hispanic origin.

The category which most closely reflects the individual's recognition in his community should be used for purposes of reporting on persons who are of mixed racial and/or ethnic origins.

In no case should the provisions of this exhibit be construed to limit the collection of data to the categories described above. However, any reporting required which uses more detail shall be organized in such a way that the additional categories can be aggregated into these basic racial/ethnic categories.

The minimum standard collection categories shall be utilized for reporting as follows:

Civil rights compliance reporting: The categories specified above will be used by all agencies in either the separate or combined format for civil rights compliance reporting and equal employment reporting for both the public and private sectors and for all levels of government. Any variation requiring less detailed data or data which cannot be aggregated into the basic categories will have to be specifically approved by the Statistical Policy Division of OMB for executive agencies. More detailed reporting which can be aggregated to the basic categories may be used at the agencies' discretion.

General program administrative and grant reporting: Whenever an agency subject to this circular issues new or revised administrative reporting or recordkeeping requirements which include racial or ethnic data, the agency will use the race/ethnic categories described above. A variance can be specifically requested from the Statistical Policy Division of OMB, but such a variance will be granted only if the agency can

demonstrate that it is not reasonable for the primary reporter to determine the racial or ethnic background in terms of the specified categories, and that such determination is not critical to the administration of the program in question, or if the specific program is directed to only one or a limited number of race/ethnic groups, e.g., Indian tribal activities.

Statistical reporting: The categories described in this exhibit will be used as a minimum for federally sponsored statistical data collection where race and/or ethnicity is required, except when: the collection involves a sample of such size that the data on the smaller categories would be unreliable, or when the collection effort focuses on a specific racial or ethnic group. A repetitive survey shall be deemed to have an adequate sample size if the racial and ethnic data can be reliably aggregated on a biennial basis. Any other variation will have to be specifically authorized by OMB through the reports clearance process (see OMB Circular No. A-40). In those cases where the data collection is not subject to the reports clearance process, a direct request for a variance should be made to the Statistical Policy Division of OMB.

Effective date: The provisions of this exhibit will be effective immediately for all *new* and *revised* recordkeeping or reporting requirements containing racial and/or ethnic information. All *existing* recordkeeping or reporting requirements shall be made consistent with this exhibit at the time they are submitted for extension, or not later than January 1, 1980.

Presentation of Race/Ethnic Data:

1. Displays of racial and ethnic compliance and statistical data will use the category designations listed above. The designation "nonwhite" is not acceptable for use in the presentation of Federal Government data. It is not to be used in any publication of compliance or statistical data or in the text of any compliance or statistical report.
2. In cases where the above designations are considered inappropriate for presentation of statistical data on particular programs or for particular regional areas, the sponsoring agency may use:
 - a. The designations "Black and Other Races" or "All Other Races," as collective descriptions of minority races when the most summary distinction between the

majority and minority races is appropriate;

- b. The designations "White," "Black," and "All Other Races" when the distinction among the majority race, the principal minority race and other races is appropriate; or
 - c. The designation of a particular minority race or races, and the inclusion of "White" with "All Other Races," if such a collective description is appropriate.
3. In displaying detailed information which represents a combination of race and ethnicity, the description of the data being displayed must clearly indicate that both bases of classification are being used.
 4. When the primary focus of a statistical report is on two or more specific identifiable groups in the population, one or more of which is racial or ethnic, it is acceptable to display data for each of the particular groups separately and to describe data relating to the remainder of the population by an appropriate collective description.

Limitations of Revised Exhibit F

Revised exhibit F represents the best efforts of the Federal agencies to develop a standard in an area where many differing views and concerns are evident; however, there are some limitations in the use of the recently issued exhibit. A number of these are discussed briefly below:

First, it should be noted that the categories and definitions were developed primarily on the basis of the geographic location of various countries. It is important to note, therefore, that the classifications which are presented should not be interpreted as being scientific or anthropological in nature.

Second, the purpose of Circular No. A-46, and its exhibits, is to set forth standards and guidelines for Federal statistics. Thus, the standardization of categories, and any reporting pursuant to that standard, should not be construed as determinants of eligibility for participation in any Federal program. The responsibility for such determinations continues to rest with the Federal program and compliance agencies.

Third, the definitions which are presented provide *examples* of areas or countries which are

to be included in particular categories. These lists are not meant to be exhaustive. If a question arises with respect to the proper categorization of persons from a particular country, clarification may be obtained from the Statistical Policy Division, Office of Management and Budget. In response to agency requests, the Statistical Policy Division has already provided guidance on the following specific questions:

1. What countries are included within the Indian subcontinent?
The Indian subcontinent includes: India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan.
2. Should persons from all Central and South American countries be reported in the category "Hispanic?"
No. Only those persons from Central and South American countries who are of Spanish origin, descent, or culture should be included in the category Hispanic. Persons from Brazil, Guiana, Surinam, Trinidad, and Belize would be classified according to their race, and would not necessarily be included in the Hispanic category.
3. Does the Hispanic category include persons from Portugal?
No. The Portuguese should be excluded from the category Hispanic, and should be classified according to their race.

Finally, problems may be encountered by agencies which find it necessary to employ respondent self-identification techniques rather than observer identification methods to determine individuals' racial and ethnic characteristics. Further discussion of this issue is presented below.

Use of Self-Identification to Obtain Racial and Ethnic Data

Federal agencies which have employed respondent self-identification to determine racial and ethnic characteristics, particularly for civil rights compliance purposes, have encountered two basic types of problems. The first has been a misunderstanding on the part of respondents concerning the purpose of obtaining the data and its subsequent use and protection. The second has been objection by respondents to placing themselves in one of five mutually exclusive categories, none of which appears appropriate. This objection has arisen particularly in cases

where persons have mixed racial or ethnic backgrounds.

In some situations, racial and ethnic data can be obtained more easily if a third party makes a determination for reporting purposes. There are situations, however, in which the subjects of the survey have no direct point of contact with the agency conducting the survey. In such cases, respondent self-identification may be the only feasible method for data collection. Where this is the case, and where respondent misunderstanding is anticipated, the organization responsible for the data collection should make every effort to minimize the misunderstandings which can arise from the collection of racial and ethnic data. Steps which can be taken for this purpose include the following:

- Agencies should include in the instrument used to obtain racial and ethnic data a discussion of why the data are being collected, how they will be used, and the steps which will be taken to prevent the use of data for discriminatory purposes.
- Agencies should include in the instrument an indication that the report is not attempting to develop an anthropologically precise description of the persons surveyed, but rather to obtain information on the number of persons in the study population who may be subject to discrimination because of the community's perception of their racial or ethnic heritage.
- The full wording of the categories and definitions which are to be used for respondent

self-identification, as prescribed by revised exhibit F, should be included in the instrument in order to avoid the misunderstandings which abbreviations may cause.

- Agencies may include an "Other (*specify*)" category for self-identification by respondents who feel that none of the five categories adequately describe their heritage. This sixth category should be added, however, only when the data gathering agency is prepared to assign the persons choosing this response option to a standard category for purposes of presenting aggregated information. While the use of the "other" category is admittedly cumbersome, it appears preferable to allow its use in cases where such an option may serve to increase response rate and minimize respondent concern. It should be emphasized that the use of an "Other (*specify*)" category is permissible only in cases where respondent self-identification is used; this option is not to be used in reporting forms which collect racial and ethnic data through observer identification of such characteristics.

Conclusion

Revised exhibit F, and the suggestions in this article, have been provided with a view towards improving the collection and presentation of racial and ethnic data in Federal reporting. Questions concerning the exhibit and the implementation of its requirements may be directed to the Statistical Policy Division, Office of Management and Budget.

A Framework for Planning U.S. Federal Statistics, 1978—1989

(Draft Chapters)

ORGANIZATION AND OPERATIONS OF U.S. FEDERAL STATISTICAL AGENCIES

Introduction

In recent decades there has been considerable debate concerning the organization of the U.S. Federal Statistical System. The debate, which is summarized in the *Revolution in United States Government Statistics—1926-76* (Volume 1 of the Framework, forthcoming), has focused on the degree to which the U.S. Federal Statistical System should be centralized or decentralized.

A discussion of the organization of Federal statistics is especially difficult since there are a wide variety of agencies and/or activities which generate numerical series which are viewed by many users as "statistics." The bulk of the statistics generated by the Federal Government relate to specific programs and are essentially a by-product of administering or monitoring those programs. A variety of statistical series have wide use by persons with greatly varying informational needs; these are frequently called general-purpose statistics. However, with a few exceptions such as the decennial census and the estimation of the national income accounts, most statistical programs are, in fact, special purpose in character; they focus on a particular function of government and are designed primarily to aid in policymaking in clearly specified areas.

All executive requests for information, except for those of regulatory agencies, the Internal Revenue Service, a few bank regulatory agencies, and certain data collection activities in the health manpower field are subject to review and clearance by the Office of Management and Budget. The agencies, when requesting clearance, classify their information requests, by type. One category, "statistical reports," is defined as follows: "those used in obtaining general-purpose statistics, col-

lected without primary reference to specific governmental needs." In March 1976, 107 separate agencies were conducting information inquiries which they labeled as statistical. A number of these agencies had only one or two reports included, and frequently the reports were not designed to yield a time series or a continuing statistical report. For purposes of this discussion of the organization of U.S. Federal statistics, the Statistical Policy Division of OMB has identified 38 agencies which have a key role in developing and using statistical inquiries. These agencies have been selected primarily on the basis of their impact on the statistical system using measures such as their budget level (generally \$3 million or more), number of statistical personnel, and the volume of burden (generally 50,000 manhours or more) which they place on the American public in collecting their statistical information. The specifics of budget and burden are summarized in Appendix Tables A and B to this Chapter. The 38 agencies are listed in Table 1.

Table 1: Major Agencies in the Federal Statistical System

General Coordination Agency:

Statistical Policy Division, Office of Management and Budget, Executive Office of the President

Core Multipurpose Collection Agencies:

Statistical Reporting Service, Department of Agriculture
Bureau of the Census, Department of Commerce
Bureau of Labor Statistics, Department of Labor

Functional Multipurpose Collection Agencies:

National Center for Education Statistics, Department of Health, Education, and Welfare
National Center for Health Statistics, Department of Health, Education, and Welfare

Office of the Assistant Secretary for Policy Development and Research, Department of Housing and Urban Development
Bureau of Mines, Department of the Interior
Federal Bureau of Investigation, Department of Justice
Law Enforcement Assistance Administration, Department of Justice
Employment and Training Administration, Department of Labor
Internal Revenue Service, Department of the Treasury
Environmental Protection Agency
Federal Energy Administration

Core Multipurpose Analysis Agencies:

Economic Research Service, Department of Agriculture
Bureau of Economic Analysis, Department of Commerce
Office of Research and Statistics, Social Security Administration, Department of Health, Education, and Welfare
Office of the Assistant Secretary for Planning and Evaluation, Department of Health, Education, and Welfare
Office of the Secretary, Department of Transportation
Federal Reserve Board

Program Collection and Analysis Agencies:

Department of Health, Education, and Welfare
Alcohol, Drug Abuse, and Mental Health Administration
Center for Disease Control
Food and Drug Administration
Health Care Financing Administration
(except the Office of Research and Statistics, Social Security Administration)
Health Resources Administration (except the National Center for Health Statistics)
Health Services Administration
National Institutes of Health
National Institute of Education
Office of Education
Office of the Assistant Secretary for Human Development
Department of Housing and Urban Development
Office of the Assistant Secretary for Community Planning and Development
Office of the Assistant Secretary for Housing
Department of Transportation
Federal Highway Administration
National Highway Traffic Safety Administration
Department of the Treasury
Office of the Secretary, including Office of Revenue Sharing and Office of Tax Analysis
National Science Foundation
U. S. International Trade Commission
Veterans Administration

The Basic Roles of Statistical Agencies

In the abstract, data needs for a particular program (or functional area) should be clearly identified by the decisionmaker who requires the information. Further, the needs of individual agencies should be closely coordinated

before specific plans for collection are developed so that duplication will be minimized and so that a wide spectrum of needs will be addressed.

After the needs for data are identified, alternative strategies should be considered for collecting the information through statistically acceptable data collection procedures designed to minimize cost and to minimize burden on the data providers. Centers staffed with statistical personnel should collect the data and prepare them for:

1. Analysis by the statistical agencies,
2. Policy analysis by governmental decision-makers, and
3. General distribution to the public.

To some extent, all statistical agencies are involved in defining and coordinating needs, collecting statistical information, and providing some analysis of that information. While it is true that all agencies are involved in each of these functions, the 38 agencies which have been selected for discussion in this section are classified into five basic groups. They are:

1. General Coordination
2. Core Multipurpose Collection
3. Functional Multipurpose Collection
4. Core Multipurpose Analysis
5. Program Collection and Analysis.

These groupings are described below:

The only General Coordination agency is the Statistical Policy Division of the Office of Management and Budget in the Executive Office of the President.

The first grouping of statistical agencies is called Core Multipurpose Collection. In this discussion "Core" will refer to agencies which fulfill needs (i.e., for collection of data or analysis of data) across functional areas. Therefore, Core Multipurpose Collection agencies collect data of broad interest both across Departments and across functional areas. There are only three such agencies. These are the Statistical Reporting Service in the Department of Agriculture, the Bureau of the Census in the Department of Commerce, and the Bureau of Labor Statistics in the Department of Labor. All three have data collection efforts, as a major part of their overall programs, which are not limited to needs in a particular functional area. The budgets of these three agencies combined effectively equal nearly 50% of the total statisti-

cal budget for current programs and 100% of the total statistical budget for periodic programs.

The second grouping of statistical agencies is labeled Functional Multipurpose Collection. There are two types of agencies in this group—agencies which actually collect the data and agencies which sponsor one or more major data collection efforts in a particular function area. These agencies are concerned with collection of data of general interest, i.e., across departments, in one or two particular functional areas. There are seven agencies which do the collection and three which are primarily sponsors. The seven in the former category include the National Centers for Education and Health Statistics in HEW (NCES and NCHS), the Bureau of Mines in the Department of the Interior, the Federal Bureau of Investigation (FBI) in the Department of Justice, the Internal Revenue Service (IRS) in the Department of Treasury, and two independent agencies—the Environmental Protection Agency (EPA) and the Federal Energy Administration (FEA). The three agencies which sponsor major collection efforts are the Office of the Assistant Secretary for Policy Development and Research (PD&R) in the Department of Housing and Urban Development, the Law Enforcement Assistance Administration (LEAA) in the Department of Justice, and the Employment and Training Administration (ETA) in the Department of Labor. NCES basically concentrates on collection efforts in the education area; NCHS in health and population; the Bureau of Mines in production and distribution of minerals and energy statistics; the FBI in criminal justice; the IRS in national economic and business financial accounts and income, wealth and consumption; the EPA in environmental statistics; the FEA in prices and price indexes, production and distribution statistics and energy statistics; PD&R in construction and housing and community development; LEAA in criminal justice; and ETA in labor statistics and national economic and business financial accounts.

The third grouping of statistical agencies is designated as Core Multipurpose Analysis. As noted above, "Core" means agencies which fulfill needs across functions, i.e., these agencies fulfill analysis needs in more than one functional area for more than one Department. There are only five such agencies. These are:

the Economic Research Service in the Department of Agriculture, the Bureau of Economic Analysis in the Department of Commerce, and the Social Security Administration (the Office of Research and Statistics) and the Assistant Secretary for Planning and Evaluation, both in the Department of Health, Education, and Welfare, and the Federal Reserve Board. For example, the Bureau of Economic Analysis analyzes data in the functional areas of prices and price indices, production and distribution, national economic and business financial accounts, environmental statistics, and income, wealth and consumption. One agency, the Office of the Secretary in the Department of Transportation, is primarily involved in analysis in a specific functional area which is of interest across Departments.

The last group encompasses the largest number of statistical agencies. They are the Program Collection and Analysis agencies. The 18 agencies in this category include the following:

In the Department of Health, Education, and Welfare:

The Alcohol, Drug Abuse, and Mental Health Administration

The Center for Disease Control

The Food and Drug Administration

The Health Care Financing Administration (except the Office of Research and Statistics, Social Security Administration)

The Health Resources Administration (except the National Center for Health Statistics)

The Health Services Administration

The National Institutes of Health

The National Institute of Education

The Office of Education

The Assistant Secretary for Human Development

The Assistant Secretary for Housing and the Assistant Secretary for Community Planning and Development, both in the Department of Housing and Urban Development; the Federal Highway Administration, and the National Highway Traffic Safety Administration, both in the Department of Transportation; the Office of the Secretary, including the Office of Revenue Sharing and the Office of Tax Analysis in the Department of the Treasury; and three independent agencies which are the National Science Foundation, the U.S. International Trade Commission, and the Veterans Administration.

Table 2: 38 Major Statistical Agencies, by Classification and Department

Department	Coordination		Collection		Analysis	Collection and analysis
	General	Functional	Core multi-purpose	Functional multi-purpose	Core multi-purpose	Program
Agriculture			SRS		ERS	
Commerce			Census Bureau		BEA	
DOD						
HEW		EDAC HDPC (Advisory Council on Ed. Stats.)** (U.S. Nat'l Comm. on Vital & H Stats.)**		NCES NCHS	SSA/ORS ASPE	ADAHMA CDC FDA HCFA (except ORS/SSA) HRA (except NCHS) HSA NIH NIE OE ASHD
HUD				(PD&R)*		Housing CPD
Interior				Bureau of Mines		
DOJ				FBI (LEAA)* (ETA)*		
DOL						
State			BLS			
DOT					OS	FHWA NHTSA
Treasury				IRS		OS/including ORS & Office of Tax Analysis
		Fed. Inter-agency Council on Energy Info.		EPA FEA		NSF USITC VA
EOP/OMB	SPD	FAC '80			Federal Reserve	
EOP/EPB		Subcomm. on Econ. Stats.				

*() = Sponsor of collection

** () = Public advisory group mandated by law

All 18 collect and analyze data, usually in only one functional area. Only one of these agencies, the Veterans Administration, collects and analyzes data in more than two functional areas.

The foregoing discussion assumes that each agency fits neatly into one of these five classifications. In fact, this is not true. Agencies have been classified by their major mission, even

though they clearly may perform other missions, i.e., most collection agencies may well do analysis and analysis agencies do collect data. The 38 major statistical agencies listed are in Table 1. Table 2 displays the 38 major statistical agencies, by Department and their classification. Table 3 displays the 38 major statistical agencies, by the 16 broad functional areas and their classification.

Table 3: 38 Major Statistical Agencies, by Classification and Involvement in Functional Areas

Functional area	Coordination		Collection		Analysis	Collection and analysis
	General	Functional	Core multi-purpose	Functional multi-purpose	Core multi-purpose	Program
Labor statistics	SPD	FAC '80	SRS/USDA Census Bureau BLS	(ETA)*		NSF
Prices & price indexes	SPD	Subcomm. on Econ. Stats. EPB	SRS/USDA Census Bureau BLS	FEA	ERS/USDA BEA SSA/ORS	
Production & distribution statistics	SPD	Subcomm. on Econ. Stats. EPB	SRS/USDA Census Bureau	Bureau of Mines FEA	ERS/USDA BEA Federal Reserve	USITC
Construction statistics	SPD		Census Bureau BLS	(PD&R)*		
Nat'l. econ. & bus. financial accts.	SPD	Subcomm. on Econ. Stats. EPB	Census Bureau SRS/USDA BLS	IRS (ETA)*	BEA Federal Reserve	Treasury/OS USITC
Energy statistics	SPD	Federal Interagency Council on Energy Info.		Bureau of Mines FEA		
Environmental statistics	SPD		Census Bureau	EPA	BEA	
Health statistics	SPD	FAC '80 HDPC (U.S. Nat'l Comm. on Vital & H Stats.)**		NCHS	SSA/ORS ASPE	ADAMHA CDC FDA HCFA (except ORS/SSA) HRA (except NCHS) HSA NIH VA
Population statistics	SPD	FAC '80 (U.S. Nat'l Comm. on Vital & H Stats.)**	Census Bureau	NCHS		NIE
Education statistics	SPD	FAC '80 EDAC (Advisory Council on Ed. Stats.)**	Census Bureau	NCES	ASPE	NIE OE NSF VA
Criminal justice statistics	SPD			FBI (LEAA)*		

Table 3: 38 Major Statistical Agencies, by Classification and Involvement in Functional Areas (Continued)

Functional area	Coordination		Collection		Analysis	Collection and analysis
	General	Functional	Core multi-purpose	Functional multi-purpose	Core multi-purpose	Program
Income maintenance & welfare statistics	SPD	FAC '80	Census Bureau		SSA/ORS ASPE	ASHD HCFA (except ORS/SSA) VA
Housing & community development	SPD	FAC '80	Census Bureau	(PD&R)*		Asst. Secy for Housing CPD VA
Income, wealth & consumption	SPD	FAC '80	Census Bureau BLS	IRS	BEA SSA/ORS	
Agricultural commodities	SPD		SRS/USDA Census Bureau		ERS	
Transportation	SPD	FAC '80	Census Bureau		OS/DOT	FHWA NHTSA

* () = Sponsor of collection

** () = Public advisory group mandated by law

Principles of Organization and Operations of Statistical Agencies

The debate over centralization or decentralization of statistical activities oversimplifies the practical problems of effectively operating a national statistical program. It is clear that regular program administration requires an information base which will generate statistical information as a by-product and that it would require excessive duplication to collect all such information in a central agency (unless those responsible for the day-to-day management of programs are to be forbidden the opportunity to collect administrative information concerning their programs). At the same time, however, it should be recognized that the U.S. Federal Statistical System is relatively concentrated with over 50% of statistical activities (as defined in the special analysis on Principal Federal Statistical Programs of *The Budget of the U.S. Government* when reimbursable budgets are assigned to the agency undertaking the work) being undertaken by three agencies. It is highly desirable to en-

courage such centralization of basic data collection since this makes it possible to control definitions and concepts and to develop samples which are developed from compatible sampling frames.

It is anticipated that the analysis of the roles and missions of the individual statistical agencies will be productive in terms of simplifying and improving the review of the existing statistical organization of the United States Government. For this reason, draft role and mission statements for the major statistical agencies are included in this chapter.

Several principles have been developed in order to illustrate the types of organizational and operating roles which appear to be desirable so that agencies which play a significant role in developing U.S. statistics are in appropriate organizational settings with clear functions and responsibilities. These operating and organizational principles are outlined below in relation to the major categories which have been described:

GOVERNING PRINCIPLES FOR STATISTICAL ORGANIZATION AND OPERATIONS

Planning and Coordination Function

1. There should be a central policy group which coordinates various functional groups. This is done by the Statistical Policy Division of the Office of Management and Budget. SPD should have ultimate responsibility for arbitrating policy differences.
2. There should be a policy group, often interdepartmental, with functional responsibility for defining statistical needs and priorities. Program agencies should work through appropriate coordination bodies to ensure that programmatic data collection contributes as much as possible to multiple needs.

Statistical Centers

1. Multipurpose and functional statistical data collection must be undertaken by designated statistical centers serving as focal points for the individual functional areas except that:
 - a. Collection of administrative data from Federal applicants and beneficiaries for the direct purpose of making determinations about individuals and economic entities should remain with the program agencies.
 - b. Data collection for specific regulatory purposes (as opposed to the compilation of aggregated information) should remain with regulatory agencies. Further exceptions should be granted:
 - c. When, because of the type of analysis to be conducted, the sponsoring agency must have access to an identifiable information record about a person, company or institution (this does not include access to anonymous individual records).
 - d. When it can be demonstrated that the data collection can be conducted by a company or institution outside of the Federal Government.
2. Regulatory data should be utilized by statistical centers to provide statistical estimates without requiring duplication in data collection. (Data collection which is used to determine if an organization or institution is in compliance is called regulatory data collection if that is the primary purpose of the data collection effort.)
3. Identifiable data on specific firms or individuals should not be released by the statistical centers except to other protected enclaves, unless proscribed by existing law at the time the individual response was collected. (Developed in detail in the Framework crosscutting issue paper on confidentiality.)

4. Data collection for repetitive programs and single-time projects should be clearly specified concerning purpose, methods, and expected release date which should be timely.
5. Statistical centers should have a methodology development and evaluation capability to ensure high quality standards. Releases should always include indicators of data quality, possible including discussion of sources. (Developed in detail in the Framework paper on statistical methodology.)
6. There should be no opportunity for, or even "appearance" of, policy or political involvement in the collection, tabulation, or release of basic data. (Procedures for handling sensitive release are indicated in OMB Circular No. A-91 which is available upon request from the Office of Management and Budget.)
7. Statistical centers and other statistical units should be staffed with qualified statistical personnel. (Developed in detail in the professional staffing and professional staff training paper.)

Analysis Function

1. Analysis of statistical data should be conducted in organizational units, not necessarily statistical centers, close to policy decisionmakers.
2. Clearly developed documentation concerning methodology should be published and subject to public review and comment.
3. Qualified statistical personnel should be involved in the design and analysis of specific program-related data efforts. Statistical collection centers or major statistical analysis agencies will often serve this function in cases where in-house staff is not available.

Interim Nature of This Document

The preceding sections have set forth a typology for viewing the roles and missions of individual statistical agencies. It was noted that each agency, in fact, may cover a wide variety of activities. This is clear from Table 3. Nevertheless, the classification system is presented to focus on the primary activities of individual agencies and to show the relationships of agencies to statistical programs in individual functional areas as well as in terms of their departmental responsibilities. The principles outlined in the preceding section are set forth for discussion and review before specific recommendations are de-

veloped concerning individual agencies. It is anticipated that review of this section at this time will focus on three elements:

1. Is the typology and classification system presented useful and appropriate?
2. Are the principles clear, reasonable, and adequate in terms of coverage of organizational and operating objectives?
3. Are the role and mission statements in the following sections correct in reflecting the specific major activities of individual agencies?

Once these three elements have been reviewed by participating agencies, it is anticipated that the recommendations which should be made for improving the operation and organization of Federal statistical agencies will be clear. Agencies are encouraged to submit specific suggestions concerning improvements in their own role and mission. They are also encouraged to make suggestions concerning the role or mission and organizational relationships of other agencies. The typology will not be revised at this time, since SPD is awaiting additional comments.

Policy Coordination and Planning

GENERAL COORDINATION AGENCY

Statistical Policy Division.—The Statistical Policy Division (SPD) is one of the five divisions on the management side of the Office of Management and Budget (OMB) in the Executive Office of the President. It works closely with the other components of OMB, especially on the budget side, since it has primary responsibility for the review of the budget submissions of the major statistical agencies and for the review, with the assistance of the budget examiners, of all agency data collection proposals for information from the public. SPD staff chairs many interagency committees which consider statistical issues of interest across Departments, such as the Federal Agency Council on the 1980 Census. In addition, SPD staff are ex-officio members of such coordinating bodies as the Health Data Policy Committee and the Subcommittee on Economic Statistics of the Economic Policy Board. The Deputy Associate Director of OMB who heads SPD is also the U.S. representative on the United Nations Statistical Commission.

Mission.—SPD's primary mission is that of statistical planning and coordination of statisti-

cal programs, agencies, and issues across all Departments and across all functional areas. It is charged with developing a coordinated statistical program for the entire U.S. Federal Statistical System. SPD's authority in this area comes from Section 103 of the Budget and Accounting Procedures Act of 1950. SPD assures that planning for statistical programs is an interagency matter. It takes the lead in formulating recommendations to the Director of OMB on statistical budgets. These recommendations are presented in a coordinated fashion after priorities for improvement have been carefully studied over a period of several months.

The other three major missions of SPD include: (1) management of the Federal Reports Act of 1942, (2) establishment of statistical standards and definitions, and (3) international statistical liaison. The Federal Reports Act requires review of all new or revised forms for gathering information from ten or more respondents, so as to coordinate Federal information requests and to minimize public reporting burden and governmental costs associated with Federal reports. The tax forms of the Treasury Department and data collection by Federal independent regulatory agencies are exempt from such reviews.

Development of statistical standards is a continuing activity. Among statistical standards, the *Standard Industrial Classification* (SIC) is probably the best known. A companion, the *Standard Occupational Classification* (SOC), is under development. In addition, SPD promulgates such standards as race and ethnic group designations, and the definition of poverty for statistical purposes.

The critical functions of international liaison are those of articulating the U.S. needs for data from other countries and international organizations, in particular, needs for improvement and greater international comparability and providing for an international discussion of common statistical problems. The focal points for SPD's international efforts are the United Nations and its affiliated organizations, and the Organization for Economic Cooperation and Development (OECD).

FUNCTIONAL COORDINATION BODIES

At present, there are seven major coordinating bodies which concentrate their efforts in one

or more functional areas. These bodies are described below, by Department:

Executive Office of the President:

Federal Agency Council on the 1980 Census

Subcommittee on Economic Statistics of the Economic Policy Board

Health, Education, and Welfare:

Education Data Acquisition Council

Health Data Policy Committee

Advisory Council on Education Statistics

U.S. National Committee on Vital and Health Statistics

Federal Energy Administration:

Federal Interagency Council on Energy Information.

Federal Agency Council on the 1980 Census.—In 1974, the Office of Management and Budget (OMB) in conjunction with the Bureau of the Census established an interagency committee for discussion about the 1980 census. Over 90 agencies serve on the Council.

The Council is not a policymaking body but it serves to facilitate the exchange of information and ideas. It provides a formal mechanism for all interested agencies to express their views on content, program data needs, geographic area requirements, reliability requirements, etc. While all agency needs cannot be met by the 1980 decennial census, this mechanism will give OMB a better idea of priority data needs over the next several years. This type of council existed for the 1960 and 1970 decennial censuses.

The Council as a whole meets infrequently but there is a substructure of ten subject matter committees which work on expressed areas of concern. The ten committees cover the following: general demography, disability, health, education, race and ethnicity, income, housing, transportation, labor force, and occupational classification. The Federal Agency Council on the 1980 Census is chaired by the Statistical Policy Division of OMB.

Subcommittee on Economic Statistics of the Economic Policy Board.—The Economic Policy Board which is concerned with developing overall economic policy for the Federal Government is interested in the quality of the information which is used to make policy determinations. A few years ago the Board organized the Subcommittee on

Economic Statistics, which is chaired by a member of the Council of Economic Advisers. The purpose of this Subcommittee is to examine various important data series which are used for macro-economic policy determinations and to make recommendations for the improvement of those series. Major areas of concern of the Subcommittee have included statistics on prices, employment, inventories, corporate profits, and agricultural production. The Subcommittee is composed of data users and data producers. The members include the Council of Economic Advisers, the Department of the Treasury, the Federal Reserve Board, the Department of Housing and Urban Development, and the Office of Management and Budget (OMB) as data users; and the Bureau of Labor Statistics, the Bureau of the Census, the Bureau of Economic Analysis, and the Department of Agriculture as data producers.

The Subcommittee operates by making recommendations to the various data-producing agencies concerning improvements in their programs, by participating in the budget review process with the OMB in reviewing agency budget submissions, and in the final analysis by making recommendations to the Economic Policy Board, itself, for improved statistical programs. The Subcommittee works very closely with the Statistical Policy Division of OMB in identifying issues and areas of concern and in evaluating alternative solutions. Its primary responsibility, however, is to the Economic Policy Board to which it makes recommendations and from which it receives instructions concerning priority concerns.

Education Data Acquisition Council.—At present, the Education Data Acquisition Council, which was instituted in 1975, is the only permanent mechanism within the Education Division of the Department of Health, Education, and Welfare for the review of activities and concerns related to data acquisition. It advises the Assistant Secretary for Education on educational data policy. Development of the Annual Data Plan for the Education Division is its major operational task for each fiscal year. It is a forum for early warning of possible areas of duplication or even conflict among agencies or agency components regarding data acquisition. It recommends the inclusion or exclusion of data surveys or reporting systems in the Plan, and develops criteria and standards for approval of studies.

Components of the Education Division, including the Office of the Assistant Secretary for Education, the National Center for Education Statistics, the Office of Education, and the National Institute of Education, are members. In addition, the Office of Management and Budget, represented by the Statistical Policy Division, and the Deputy Assistant Secretary for Planning and Evaluation/Education are members.

Health Data Policy Committee.—The Assistant Secretary for Health in the Department of Health, Education, and Welfare established the Health Data Policy Committee in March 1974 to assist him in policy guidance and in coordination of departmental health data requirements. The Committee produces the Department's annual Health Statistics Plan. The Committee's charter emphasizes the need for policies that will result in coordinated activities, complementary statistics, and minimized burden. The Committee addresses topics for which departmental policies and decisions are being formulated.

The Committee is co-chaired by the Director, Office of Policy Development and Planning and the Director of the National Center for Health Statistics. It meets monthly. All six Public Health Service agencies, the Social Security Administration, the rest of the Health Care Financing Administration, and other units of the Department are members. The Statistical Policy Division of the Office of Management and Budget, the Veterans Administration, and the Department of Defense are invited observers.

The Committee advises the Assistant Secretary for Health on specific data needed for current and long-term planning and management, and provides a locus within the Department for liaison on matters dealing with health data.

Advisory Council on Education Statistics.—The Advisory Council on Education Statistics, mandated by P.L. 93-380 and formally established on June 28, 1975, represents the first broad-based external committee to assist in the planning of education statistics. It is advisory to both the Secretary and Assistant Secretary for Education in the Department of Health, Education, and Welfare. It is comprised of seven appointed members and four ex-officio members (the Commissioner of Education, the Director of the National Institute of Education, the Director of

the Bureau of the Census, and the Commissioner of Labor Statistics). The Assistant Secretary for Education is the presiding official and a nonvoting member. The seven appointed members are representatives of the public, from the educational as well as statistical communities. The Council must meet at least four times a year. In addition, it must submit a report to Congress on its activities in March of each year.

The Council reviews general policies for the operation of the National Center for Education Statistics (NCES), and is responsible for establishing standards to insure that the statistics and analyses disseminated by NCES are of high quality and are not subject to political influence.

U.S. National Committee on Vital and Health Statistics.—The U.S. National Committee on Vital and Health Statistics was originally established in 1949. In 1975, under P.L. 93-353, it was reconstituted. This Committee is advisory to the Assistant Secretary for Health in the Department of Health, Education, and Welfare and through him to the Secretary of the Department. There are 15 members on the Committee including representatives of the following disciplines: health statistics, epidemiology, and the provision of health services. The Committee is largely composed of members from the public. It is to meet at least twice a year, but usually actually meets three or four times a year.

The Committee's charter states that it shall assist and advise the Secretary and Assistant Secretary to delineate statistical problems bearing on health and health services which are of national or international interest; to stimulate studies of such problems or to make investigations of such problems through subcommittees; to determine, approve, and revise the terms, definitions, classifications and guidelines for assessing health status and health services, their distribution and cost; to issue an annual report on the state of the Nation's health, its health services, their cost and distribution; and to make proposals for the improvement of the Nation's health statistics and health information systems.

The Executive Secretary of the Committee is an official of the National Center for Health Statistics (NCHS), and the Committee's budget is included in that of NCHS.

Federal Interagency Council on Energy Information.—The Federal Interagency Council

on Energy Information is the principal inter-agency organization in energy statistics. Its main role is to improve the quality of Federal information on various aspects of energy-related data including reserves, resources and exploration, production, transportation, consumption, and industrial organization. The Interagency Council operates with the use of specialized task forces which examine various aspects of the statistical system. Subjects discussed in the task forces have included the development of standard energy terminology, the development of a data element dictionary identifying data collected by the various agencies, and improvements in energy consumption data.

The Council is composed of the major energy statistics user and producer agencies. These include the Federal Energy Administration, the Bureau of the Census, the Bureau of Mines, the U.S. Geological Survey, the Environmental Protection Agency, the Energy Research and Development Administration, the Federal Power Commission, the Office of Management and Budget, and some others. The General Accounting office sits as an observer on this group. At present, the Council is not separately funded, but relies upon a voluntary dedication of time of the members and member agencies.

The Council will be important in the administration of the Energy Conservation and Production Act, which gives the responsibility for coordination of energy information to the Federal Energy Administration. In its setting of standard definitions and bringing together data element dictionaries and updating the Federal Energy Information Locator System, the Council provides an important coordination role. As sponsor of studies in particular areas, e.g., energy consumption in the industrial sector, the Council will provide the forum for discussing emerging concerns and making recommendations to particular agencies concerning improvements in their data systems so as to facilitate the needs of all users. The Council works very closely with the Office of Management and Budget in implementing specific recommendations.

Collection Agencies

The agencies described as Core Multipurpose Collection agencies are those whose primary mission is the collection of statistics of broad interest both across departments and across

functional areas, each of them being responsible for the regular collection, and publication of data in specified functional areas. In some cases extensive analysis of the data is also provided, hence there is an overlap with the analysis agencies in certain areas. As a group, these agencies account for a large proportion of the statistical activities of government agencies.

The agencies described as Functional Multipurpose Collection agencies are those whose primary mission is the actual collection of statistics or the sponsorship of the collection of statistics of general interest, i.e., across departments, in one or two particular functional areas. There are seven agencies which do the collection and three which are primarily sponsors.

The agencies are described below in alphabetical order by Department. The Core Multipurpose Collection agencies are:

1. *Agriculture*—Statistical Reporting Service.
2. *Commerce*—Bureau of the Census.
3. *Labor*—Bureau of Labor Statistics.

The Functional Multipurpose Collection agencies are:

1. *Health, Education, and Welfare*—
 - a. National Center for Education Statistics.
 - b. National Center for Health Statistics.
2. *Housing and Urban Development*—Office of the Assistant Secretary for Policy Development and Research—Sponsor.
3. *Interior*—Bureau of Mines.
4. *Justice*—
 - a. National Criminal Justice Information Statistics Service, Law Enforcement Assistance Administration—Sponsor.
 - b. Federal Bureau of Investigation
5. *Labor*—Employment and Training Administration—Sponsor.
6. *Treasury*—Division of Statistics, Internal Revenue Service.
7. Environmental Protection Agency
8. Federal Energy Administration

Each section briefly describes the agency activities or roles, concluding with a brief statement of overall missions.

CORE MULTIPURPOSE COLLECTION AGENCIES

Statistical Reporting Service, Department of Agriculture.—Within the Department of Agricul-

ture (USDA), the Statistical Reporting Service (SRS) functions as the principal statistical collection office and consultant on statistical methods. It collects a wide variety of current agricultural data for other USDA agencies on a reimbursable basis. Frequently these data are collected on a continuing basis. The SRS maintains formal cooperative agreements with 48 States through State departments of agriculture, universities, and similar agencies that provide financing required for collecting and publishing data for substate geographic areas.

The largest single reimbursable project is the Annual Economic Survey for the Economic Research Service. This survey (including data on costs of production, structure of ownership, farm inputs and outputs, and farm income) covers many of the crucial variables required for current economic analysis.

SRS also performs data collection on a reimbursable basis for Federal agencies outside USDA, but this type of work is dominated by two surveys for the Bureau of Labor Statistics, the farm labor and hired workers surveys. SRS plays a minor role as a data processing agent for State departments of agriculture.

Mission.—The principal mission of SRS is serving as supplier of current general-purpose agricultural statistics at national and State levels. In particular, SRS is the supplier of the official national estimates of acreage, yield, and production of crops; stocks and value of farm commodities; and numbers and inventory of livestock. A secondary mission is developing statistical methodology and statistical standards with particular reference to agricultural statistics. In addition to the impact on the SRS statistics, this activity takes the form of reimbursable work for the Agency for International Development in technical assistance and training.

Bureau of the Census, Department of Commerce.—The Bureau of the Census (Census) is one of 12 independent operating units of the Department of Commerce. By almost any measure, Census is the most significant agency in the U.S. Federal Statistical System. Its most important activity, the decennial census of population, is specified in the Constitution and is the only program in the Federal Government which, in principle, attempts to contact every inhabitant of the country. (The Internal Revenue Service and the Social Security Adminis-

tration affect a large proportion of the population.) Census has broad program authorization in Title 13, United States Code (the "Census Code"). Its budget (\$94.9 million in 1977) and staff (4,444 permanent positions) are the largest among the statistical agencies.

Census officially serves as a consultant in the design of statistical undertakings of all Commerce agencies. In addition, Census performs special surveys, tabulations, and a variety of other statistical services for other Commerce agencies on a reimbursable basis such as special tabulations of export data for the Domestic and International Business Administration. The most important statistical relationship within Commerce is the bilateral one between Census as a producer and the Bureau of Economic Analysis (BEA) as a consumer of statistics. This involves continual liaison relating to BEA needs in preparing and interpreting the economic accounts of the United States in relation to the Census responsibility for planning of economic statistics programs.

A major additional portion of work done by Census is performed on a reimbursable basis for Federal agencies outside Commerce. The estimated cost of such work in 1977 is \$62.0 million. Some projects require developing and conducting an individual survey; other projects use existing surveys as a vehicle for collecting additional data or for preparing special tabulations. The projects of most significant scale include the Health Interview Survey for the Department of Health, Education, and Welfare, the Annual Housing Survey for the Department of Housing and Urban Development, the survey of crime victimization for the Department of Justice, longitudinal manpower data and labor force data from the Current Population Survey for the Department of Labor, and the national travel survey for the Department of Transportation. The Bureau prepares population estimates and projections for other agencies such as the Agency for International Development (AID) and the Department of State, and operates an international statistical training center funded by AID.

In addition, Census has numerous ties to State and local governments and the private sector. One example of this is the series of intergovernmental seminars on accessing statistical resources held for State and local government officials and representatives of university re-

search services, chambers of commerce, and others. Another is the network of ten public advisory committees of experts on particular topics (such as small area data) or representing cognizant professional groups (such as the American Statistical Association). A third is the Federal/State cooperative program for population estimates and projections.

Mission.—The primary Census mission is that of a general-purpose statistical collection agency meeting a very wide range of Federal and national needs for data. Material secondary missions derive from the primary and they include demographic analysis; extensive research in statistical methodology, data processing techniques, and equipment; and programs to improve access and utilization of statistical information.

Census collects and publishes basic statistics concerning the population and the economy of the Nation in order to assist the Congress, the executive branch, and the general public in the development and evaluation of economic and social programs. Periodic censuses include the census of population and housing which is taken at 10-year intervals and the census of agriculture, the census of governments, and the economic censuses which are taken at 5-year intervals. Current surveys and programs are conducted to collect data on various economic activities and demographic changes. Data are collected and published on foreign trade, housing, construction, governments, certain agricultural commodities, industrial output, retail and wholesale trade, and transportation. The Current Population Survey provides data and reports on a variety of demographic changes as well as providing employment data to the Bureau of Labor Statistics of the Department of Labor.

Bureau of Labor Statistics, Department of Labor.—Within the Department of Labor, the Bureau of Labor Statistics (BLS) is the agency to which the Secretary of Labor's responsibility for collecting and analyzing data on labor and price statistics has been delegated. Labor statistics are defined in a very broad fashion and hence BLS has a clear mandate to produce general-purpose statistics and related analyses in this field.

BLS is also the principal statistical collection agency serving the statistical needs of other agencies within the Department of Labor. In

particular, BLS functions as the collection agent for:

1. The Occupational Safety and Health Administration for its major survey of occupational safety and health.
2. The Employment Standards Administration for surveys in connection with the Service Contract Act and Fair Labor Standards Act.

The BLS relationship to the Employment and Training Administration (ETA) is more complex, but BLS provides statistical support for programs administered by ETA. In addition, ETA provides BLS funds for analytic work in conjunction with the development of the matrix of occupational employment by industry.

BLS also does reimbursable work for other agencies—particularly data collection. Generally, this occurs in cases where a requirement exists which is closely related to the BLS general-purpose program.

The BLS itself relies on other agencies for the collection of some of the data integral to its program. In addition, the Census Bureau is the collecting agent for the Current Population Survey (which has funding from both BLS and Census). Furthermore, monthly and quarterly employment and earnings data and local area unemployment statistics, which are compiled and published by the BLS, depend upon Federal-State program relationships. In specialized areas, such as farm labor, the BLS does not duplicate the activities of other agencies such as SRS in USDA which has the required specialization in order to round out the basic labor statistics program.

In addition to programs for collecting employment and earnings data, the Occupational Employment Survey to obtain State level intercensal data is a significant Federal-State cooperative program. Participating States share in the financing and also in the design of optional detail for the individual States. BLS retains technical oversight and is the collection agent. Furthermore, BLS does intermittent data collection on a reimbursable basis for local government and private industry.

Mission.—The primary BLS mission is to be the statistical collection agency for labor statistics, including price statistics. Its secondary missions, which are substantial, derive from the primary one.

One secondary mission is to be an analytic agency. A major analytic program is the Family Budget Studies, which makes use of data from many sources; these data are updated annually. Results of special analytic studies are published regularly by BLS in the *Monthly Labor Review*.

Simultaneously, BLS is the collection agency for the major program agencies of the Department of Labor. Through the Professional, Administrative, Technical, and Clerical (PATC) surveys, it is also a collection agency for the Civil Service Commission and the Office of Management and Budget, acting jointly as the President's pay agent.

The subject matter areas in which the BLS operates are generally those which fit logically within the broad category of labor statistics, i.e., employment, unemployment, occupational health and safety, employee compensation, wages, productivity and labor relations. In addition, prices (wholesale, retail, and export and import), while not usually classified as labor statistics, are clearly general-purpose statistics.

FUNCTIONAL MULTIPURPOSE COLLECTION AGENCIES

National Center for Education Statistics, Department of Health, Education, and Welfare.—The National Center for Education Statistics (NCES), established in 1965, is located in the Office of the Assistant Secretary for Education which oversees the two major components of the Education Division—the Office of Education (OE) and the National Institute of Education (NIE). This location makes it possible for NCES to service the policy needs of the Assistant Secretary and the basic statistical needs of OE and NIE. In addition, the Center is available to other Federal agencies for survey advice and consultation.

NCES has had a continuous involvement with the State Education Agencies and through them the local education agencies and school districts. The Council of Chief State School Officers (CCSSO) has advised NCES and other Federal agencies (especially in the Education Division of HEW) on their proposals to conduct surveys in the public elementary and secondary schools of the Nation.

Mission.—In the past, NCES has basically been a general-purpose statistical collection agency. Since the passage of the Education Amend-

ments of 1974, however, NCES' mission has expanded to include an analysis function. NCES is charged with compiling, from time to time, a report on the condition of education in the United States. NCES assists State and local education agencies in improving and automating their statistical and data collection activities. It also prepares the annual Data Acquisition Plan for the Education Division and promotes statistical standards—standardized terminology and definitions—appropriate to the publications of the Education Division and those of State and local governments and educational institutions. The Center also houses the National Assessment of Educational Progress program where samples of the general population of various ages are surveyed.

National Center for Health Statistics, Department of Health, Education, and Welfare.—The National Center for Health Statistics (NCHS), established in 1960 as an arm to the Surgeon General of the Public Health Service in his immediate office, is now located in the Health Resources Administration (HRA), which is one of six components of the Public Health Service. It is accessible to the other Bureaus in HRA, other components of the Public Health Service, and on a selective basis it is available to other parts of HEW for technical assistance.

NCHS performs reimbursable work for a number of organizations ranging from the Air Force, Army, and Veterans Administration to the Department of Transportation, the Consumer Product Safety Commission, and the Agency for International Development (AID). Most of these activities involve copies of computer data tapes or special runs from available data. NCHS is reimbursed by AID for training statistical personnel in other countries.

The Center is the only Federal agency established specifically to collect and disseminate data on health in the United States. It cooperates with other agencies in the Federal Government and in State and local governments and with foreign countries in activities to increase the availability and usefulness of health data. The Center is building a coalition of Federal, State, and local agencies, working to provide data in sufficient geographic detail to serve State and local data needs through its relatively new and evolving Cooperative Health Statistics System (CHSS).

Mission.—In addition to collecting general-purpose health statistics, the Center collects some program statistics, but most program statistics are collected elsewhere in the Public Health Service. Likewise, it does some research, though basically its research focuses on statistical and survey methodology.

The Center conducts several major surveys on a continuing basis to determine such things as health costs, insurance coverage, nutritional status, the supply of health manpower, prevalence of chronic diseases, disability, basic morbidity and mortality data, and utilization of health services. From the Center's vital statistics program comes the Nation's official statistics on births, deaths, marriages, and divorces.

Office of the Assistant Secretary for Policy Development and Research, Department of Housing and Urban Development.—The Office of the Assistant Secretary for Policy Development and Research (PD&R) administers the Department of Housing and Urban Development's (HUD) program of improving the availability of statistics and information on housing and mortgage financing as part of the Department's research and development effort. The data collections and their dissemination are designed to aid public officials, homebuilders, realtors and financial organizations in their assessment of housing and mortgage markets. Virtually all data collection is performed by other agencies under HUD contracts, chiefly by the Census Bureau. The data are used directly by PD&R and other components in the Department in assessing the impact of programs and in developing alternative policies and programs.

Mission.—PD&R oversees the statistical collections by other agencies, including the Annual Housing Survey, surveys of new home completions and sales, market absorption of apartments, new mobile home placements and mortgage lending. It also coordinates the surveys of mortgage lending and commitment activity and, together with the Veterans Administration, collects statistics on effective interest rates on home loans.

Bureau of Mines, Department of the Interior.—The Bureau of Mines (BOM) collects data from industry. BOM also has a number of reimbursable statistical programs with other agencies. Among the agencies which collect data for BOM are the U.S. Geological Survey (USGS), National

Aeronautics and Space Administration, Federal Energy Administration (FEA), the Army Corps of Engineers, and the Federal Power Commission (FPC). The Bureau collects data for the Bureau of Indian Affairs, Corps of Engineers, FEA, and the Bureau of Reclamation.

Mission.—BOM is both a collection and analytical agency. It collects, compiles, and publishes statistics on all phases of domestic and foreign mineral resource developments, including reserves, production (primary and secondary), consumption (by end use), inventories prices, and imports and exports. BOM's statistical products are also used to develop policy on issues of national interest such as the effects of potential economic developments on resource availability. In doing this, it works closely with other agencies collecting and analyzing energy and mineral resource data such as FEA, FPC, USGS, the Office of Minerals Policy and Research Analysis (Department of the Interior) and the Corps of Engineers as well as with State and local governments. BOM published reports are important sources of information to both State and local government offices and industry in their planning and policymaking functions.

The Bureau of Mines is also a research organization, which deals with problems relating to mining and metallurgy. In the course of this work, special analytical surveys are developed dealing with mining and metallurgy problems. In addition, the Bureau of Mines administers the provisions of the law dealing with helium and regularly collects data on the receipts and distribution of helium. Because of the close relationship between the Mining Enforcement and Safety Administration (MESA) and the Bureau of Mines, special surveys are conducted for MESA on various safety aspects of mining.

Federal Bureau of Investigation, Department of Justice.—The Federal Bureau of Investigation (FBI) has a comparable organizational standing to that of the Law Enforcement Assistance Administration (LEAA). Until 1969, local police agencies reported crimes directly to the FBI. In 1969, the Bureau began to urge State agencies to assume responsibility for collecting data from local agencies and then to compile them for transmission to the FBI.

Mission.—The FBI conducts a major basic statistics program called the Uniform Crime Reports (UCR) program which provides a

nationwide view of crime. Quarterly summaries are published in addition to yearly data on criminal offenses known to law enforcement, persons arrested, dispositions of persons charged by law enforcement agencies, and law enforcement employee data. Adjunctive to the basic UCR program are statistics on law enforcement officers killed and assaulted, assaults on Federal officers, and on bombs.

Law Enforcement Assistance Administration, Department of Justice.—The statistical activities of the Law Enforcement Assistance Administration (LEAA) in the Department of Justice are housed in the National Criminal Justice Information and Statistics Service (NCJISS). It is one of the major funders of statistical activities in the Government, with an estimated 1977 budget of \$35.1 million.

Besides its own program, NCJISS provides statistical support to other LEAA offices.

A great part (nearly 40%) of NCJISS' work is conducted under contract to the Census Bureau in the Department of Commerce. The Census Bureau performs about ten separate projects for NCJISS, including the approximately \$10 million a year National Crime Panel program and other smaller programs such as national prisoner statistics, expenditures and employment data, and juvenile justice statistics.

NCJISS helps develop State statistical capabilities by supporting developmental work and planning projects and providing technical assistance—all through its Comprehensive Data Systems (CDS) program. This program amounts to ___% of NCJISS' budget. In addition, NCJISS assists States and other LEAA grantees in meeting confidentiality requirements for research and statistical data in accordance with the Crime Control Act of 1973.

Mission.—NCJISS' primary activity is that of statistical collection rather than analytical activity. It supports collection, evaluation, publication, and dissemination of statistics on the condition and progress of law enforcement within the United States and administers programs to protect the privacy and security of research data and criminal history record information. Statistics are compiled on criminal victimization, law enforcement, judicial administration, corrections, and overall criminal justice functions such as manpower, employment, and personnel. NCJISS identifies national, State, and local criminal justice statistical needs and supports

the development of prototype criminal justice information systems which are designed to increase the effectiveness of criminal justice planning and operation of the judicial system.

Employment and Training Administration, Department of Labor.—The Employment and Training Administration (ETA) has two offices which are concerned with statistical support for Department of Labor programs. These are the Office of Manpower Policy and Planning and the Office of Manpower Research and Development. The former is particularly concerned with statistical support for Department of Labor major operating programs. In this role it conducts and sponsors (through contracts) major evaluation studies and improvements in both current and periodic statistical data. An example of this latter activity is the support of the Occupational Employment Statistics (OES) matrix. Within the Department, however, BLS rather than ETA has the responsibility for the technical control of these data.

The Office of Manpower Research and Development provides statistical support, i.e., research data associated with its responsibilities for research in the manpower area.

Mission.—The ETA has responsibility for programmatic data relating to manpower policy, Federal funding of training activities in local labor market areas, and related programs.

Division of Statistics, Internal Revenue Service, Department of the Treasury.—The Internal Revenue Service's (IRS) Division of Statistics has one of the major data collection programs in the Federal Government. It is based on the principal tax forms for individuals, businesses, and corporations. As the tabulator of the tax returns, the Division of Statistics plays an important statistical support role for other offices within the Treasury Department which are concerned with analysis and forecasting of tax receipts and development of tax policy. In addition, the Division is the supplier of income and related data to other analytical offices. The Bureau of Economic Analysis, for example, makes use of profit, income, and inventory data from the IRS tabulations in providing annual revisions of the national income and product accounts. IRS has also been the supplier of information for statistical list building, but has restricted this role to its interaction with the Bureau of the Census, which has the most rigorous legislation protecting confidentiality,

and to the Federal Trade Commission, which has responsibilities for the Quarterly Financial Report.

Mission.—IRS is classified as a functional multipurpose collection agency because of the comprehensive data on Federal taxes and income which it collects as administrator of the Federal tax laws. The IRS' primary statistical mission is collection of the vast amount of data produced as a by-product of the tax collection process. It is also responsible for analysis of these data. In particular, analysis includes the design and publication of useful tabulations. The tax forms as a matter of policy are not used as collection vehicles for data other than those which are needed in support of the tax collection function. There are rare exceptions to the general policy. The IRS Form 1040 has, for example, included information on exact place of residence, which was needed for equitable allocation of funds under the general revenue sharing program.

Environmental Protection Agency.—The Environmental Protection Agency (EPA) is an independent agency which has the role of developing, setting, and enforcing environmental quality standards in the areas of air, water, pesticides, radiation, noise, solid waste, and toxic substances. The two largest agency programs are in air and water. In air, EPA has the responsibility of setting and regulating ambient standards. To accomplish this the agency conducts research on the health, economic, and ecological impacts of air pollution and uses data collected by other agencies in these areas. The EPA pollution effects research program is the Community Health and Environmental Surveillance System (CHESS). Among the agencies which supply EPA with environmental health effects data are the:

1. National Institute of Environmental Health Sciences.
2. National Cancer Institute.
3. National Institute for Occupational Safety and Health.
4. Energy Research and Development Administration (ERDA).

EPA also maintains national inventories of:

1. Air pollutant emissions data (NEDS system).
2. Ambient air quality data (SAROAD system).

The ambient air quality data are mainly collected by State and local governments using Federal guidelines.

In water quality, EPA also has the lead role for the development and setting of standards. The agency, however, shares its water quality monitoring responsibilities with several other agencies. For example, both the U.S. Geological Survey and EPA monitor river basins and both the National Oceanic and Atmospheric Administration (NOAA) and EPA monitor coastal and estuarine waters.

Another major program administered by the agency is in the regulation and registering of pesticides. The agency also monitors pesticide residues in human populations. Other agencies involved in monitoring pesticide levels are:

1. NOAA—in surface waters and in oysters and clams.
2. The Fish and Wildlife Service—in birds and fish.
3. The U.S. Department of Agriculture—in meats and poultry.
4. The Food and Drug Administration—in foods and crops.

Other EPA responsibilities are:

1. With the Federal Aviation Administration, the development of Federal noise standards.
2. With ERDA, the monitoring of radiation.
3. The collection and analysis of solid waste data.

Mission.—The EPA has basic responsibilities for statistics relating to air, water, pesticides, radiation, noise, solid waste, and toxic substances.

Federal Energy Administration.—At present, there are about 50 government agencies involved in the collection and/or analysis of energy data. The Federal Energy Administration (FEA) plays a major coordinating role in this activity—particularly in the areas of supply, demand, production, consumption, and conservation statistics. Data handled by the agency frequently form the basis for:

1. Energy Resources Council's reports to the President.
2. Technical support and assistance to State and local governments.

3. A foundation for developing new and improved energy sources.

The agency is both a data gatherer and data supplier. In the areas of supply and production, FEA conducts a survey of monthly statistics on stocks and inputs and outputs of refineries, crude and petroleum products, primary terminals, pipeline companies, and importers.

The agency also analyzes the following price-related data:

1. New and released oil production and total and stripper well production.
2. Imported crude costs.
3. Refiner product costs.
4. Refined product costs.
5. Gasoline sales by refineries and large resellers.
6. Diesel fuel sales by retailers.
7. Heating oil, propane, and residual fuel costs.

FEA also sponsors the Bureau of the Census survey of retail gasoline stations to measure the aggregate volume share of both branded and nonbranded independent dealers as well as company-operated outlets. Further, FEA and the Federal Power Commission jointly conduct a survey on natural gas curtailments and the ability of users to switch to alternate fuels.

The Bureau of Mines (BOM) and FEA have an agreement whereby the BOM collects monthly data on petroleum refining operations, bulk terminal stocks of petroleum products, pipeline movements and stocks of petroleum products, and stocks of crude oil. Data are collected under FEA's mandatory authority and used by both agencies. The agreement has reduced the reporting burden on industry while providing both agencies with meaningful data on a timely basis. A similar agreement is being developed whereby BOM will collect data on coal.

Finally, in its role as coordinator, FEA has established a National Energy Information Center, which acts as a clearinghouse for specific requests for energy data and statistics.

Mission.—The FEA has primary responsibility for collecting and analyzing data concerning the sources of supply, distribution, and use of energy resources.

Statistical Agencies With Primarily Analytical Functions

A number of agencies play an important role in the Federal system of economic and social statistics primarily through extensive analysis or interpretation of statistical data from other sources—governmental and nongovernmental. Their estimates, analyses, or forecasts are an important product of the Government's statistical system. In some instances they also engage in direct collection of basic statistics.

The principal agencies in this category (again, arranged alphabetically by Department) are:

1. *Agriculture*—Economic Research Service.
2. *Commerce*—Bureau of Economic Analysis.
3. *Health, Education, and Welfare*—Office of Research and Statistics, Social Security Administration.
Office of the Assistant Secretary for Planning and Evaluation.
4. *Transportation*—Office of the Secretary
5. Federal Reserve Board

These six agencies differ in some respect. The first four of them and the last fulfill analysis needs in more than one functional area for more than one Department and are here known as Core Multipurpose Analysis agencies. The fifth—the Office of the Secretary in the Department of Transportation—provides analysis in a specific functional area which is of interest across Departments.

Economic Research Service, Department of Agriculture.—The Economic Research Service (ERS) is the principal analytic office for data relating to farms and the farm population. It reimburses the Statistical Reporting Service for conduct of the Annual Economic Survey, the single most comprehensive data collection vehicle required for its analytic tasks. Furthermore, within the Department of Agriculture (USDA), its publications and other analytic outputs are essential to the individuals and offices concerned with agricultural policy issues. Outside of USDA, significant users of its products include the Bureau of Economic Analysis, the Council of Economic Advisers, and the Federal Reserve Board, all of which need to analyze the farm sector as a part of a broader economic and financial picture.

Mission.—The Economic Research Service has a very broad mission for analyses and publications on all aspects of farm economics. Central attention is given to the areas of farm production, inputs, prices of both inputs and outputs, income, and the costs of farm family living. In addition, ERS is concerned with analysis of later stages in fabrication and distribution, i.e., food processing and food marketing, and with data on rural land, including real estate values and ownership patterns. A secondary mission is data collection in support of the analytic function, but with the exception of the Farm and Rural Land Market Survey, the collection efforts are quite small scale.

Bureau of Economic Analysis, Department of Commerce.—Although the Bureau of Economic Analysis' (BEA) budget (\$12.5 million) is not especially large among statistical agencies, the broad analytical use and impact of its work make it one of the major agencies in the U.S. Federal Statistical System. BEA provides analytical support based on the national economic accounts to the Secretary and other elements of the Department as well as key governmental units such as the Council of Economic Advisers. Its work is widely used by academic and business analysts.

In preparing the national income and product accounts, BEA is a major user of statistics collected by other agencies. More than one-third of the data used by BEA comes from the Census Bureau, and the interactive relationship between these sister agencies is one of the important factors shaping economic statistics in the Federal Government. The data needs identified with and by the national economic accounts and related BEA work are a major consideration in planning for the economic censuses and the census of agriculture. (BEA, in turn, supplies the Census Bureau with adjusted personal income data used as an input to the intercensal demographic estimates program.) BEA also provides under contract a variety of special analytical tabulations on such topics as migration and personal income for the regional economic commissions which are constituent units of the Department of Commerce.

The measures and analyses produced by BEA are used by business to plan production, price, and investment programs. This information is essential also for economic decisionmaking by State and local governments, labor, and other

economic groups. BEA, over and above its main-line products, prepares analyses bearing on the formulation of fiscal, monetary, and other economic policies for the Council of Economic Advisers, the Treasury Department, the Office of Management and Budget, and the Federal Reserve System. BEA does a limited amount of reimbursable work for other Federal agencies, State and local governments, and the private sector.

Mission.—The primary BEA mission is analysis and research related to the preparation and interpretation of the economic accounts of the United States. The economic accounts provide a realistic quantitative view of the economic process in terms of the production, distribution, and use of the Nation's output. The accounts consist of the national income and product accounts, summarized by the gross national product (GNP); wealth accounts which show the business and other components of national wealth; interindustry accounts which trace the interrelationships among industrial markets; regional accounts which provide detail on economic activity by region, State, metropolitan area, and county; and U.S. international transactions accounts which give detail on U.S. transactions with foreign countries.

A derivative and relatively limited secondary mission is the direct collection of data from respondents when there is a close link between the data and the analytical function as, for instance, the collection of international investment data and data for the balance of payments accounts.

The work on the economic accounts is supplemented by the preparation and analysis of other measures of economic activity, including various tools for forecasting economic developments such as surveys of the investment outlays and plans of U.S. business, econometric models of the U.S. economy, and a system of economic indicators. The measures and analyses prepared by BEA are disseminated mainly through its monthly publications, the *Survey of Current Business* (including periodic supplements to the *Survey*), *Business Conditions Digest*, and *Defense Indicators*.

Office of Research and Statistics, Social Security Administration, Department of Health, Education, and Welfare.—The Office of Research and Statistics (ORS) within the Social Security Administration (SSA) is a major analytical statistical agency.

Within the Department, its role is also one of statistical support for the major operating programs of the Social Security Administration, including Medicare and Supplementary Security Income (SSI). Its statistical support and analysis are closely related to that of the rest of the Health Care Financing Administration because of the overlap in their constituencies.

Because the role of ORS, however, is considerably more than statistical support, it is a significant user of data from other agencies. In addition, Social Security administrative records provide data which have been utilized in analytic efforts of other agencies. For example the Continuous Work History Sample (CWHHS) from Social Security records has been used by the Bureau of Economic Analysis, Department of Commerce, to develop an analysis of employment and migration patterns. The CWHHS is also used extensively by other government agencies and by universities for various types of socioeconomic research on earnings and income. In addition, Social Security quarterly employment reports have been for many years a principal source to the Bureau of the Census in developing county data on employment and payrolls.

As a data user, ORS has been particularly interested in income data from other agencies. It has been an active participant with the Internal Revenue Service and the Bureau of the Census in the project to obtain more comprehensive personal income data by establishing linkages between income tax, Social Security, and current population survey data. Finally, it should be noted that Social Security is a sponsor for questions asked in Census Bureau household surveys, particularly questions concerning reciprocity of benefits under the SSI and Medicare programs and more general questions relating to retirement history and health and work characteristics.

In addition to tabulating and analyzing data available from SSA's program statistics, ORS periodically supplements these data through surveys such as the Retirement History Survey (RHS) and on an ongoing basis by the Current Medicare Survey (CMS). In addition ORS conducts various experiments and evaluations studies under Section 222 of P.L. 92-603 and under the National Health Resources Planning Act of 1974 (P.L. 93-641). Among other aims, these efforts are designed to determine the rela-

tive advantages and disadvantages of various methods of setting rates on a prospective basis under Title VII of the Social Security Act and under State plans approved under Titles XIX and V of the Act.

Mission.—The Office of Research and Statistics provides the basic tabulations and publications concerning the benefits and beneficiaries of all the Social Security programs. In addition, through its collaborative arrangements with other statistical offices, it is enabled to do further analysis of Social Security program beneficiaries and the impact of the programs on them. Beyond that, it works on analysis of the general economic impact of Social Security programs.

Office of the Assistant Secretary for Planning and Evaluation, Department of Health, Education, and Welfare.—The Office of the Assistant Secretary for Planning and Evaluation (ASPE) has contact with all parts of the Department since it oversees policy formulation, planning, analysis, and evaluation. It is the office which coordinates the annual statistics plan and evaluation plan of each part of the Department for the Secretary.

Mission.—ASPE coordinates the Department's activities in economic and social analysis, program analysis and planning, and evaluation activities, and ensures that the results of these activities are appropriately reflected in Department policy and program planning. ASPE is basically an analytic agency although it sponsors some data collection efforts.

ASPE funds a variety of statistical efforts, including questions on noncash income on the Census Bureau's Current Population Survey and the Survey of Income and Education, the longitudinal study of family economics which determines factors that cause some families to move into or out of poverty, a survey of the institutionalized population, statistical support to the health insurance experiment, and seed money for a new household survey of income.

Office of the Secretary, Department of Transportation.—Although several components of the Office of the Secretary have statistical activities, the major programs are in the Office of the Assistant Secretary for Policy, Plans, and International Affairs (TPI). TPI has a policy oversight and coordination function regarding transportation statistics and data collection. It chairs the Department's Data and Methodology Committee which endeavors to pool resources

and knowledge on collection efforts, to encourage uniform standards, and to avoid duplication. TPI statistics are compiled for direct use in its programs, but they are also used by other departmental elements. TPI has collected information directly, but currently relies chiefly on contractors (both private and other agencies), such as the Census Bureau (e.g., commodity transportation). TPI also cosponsors, with the Civil Aeronautics Board and the U.S. Travel Service, special tabulations and analysis of Immigration and Naturalization Service records on international air passenger origins and destinations.

Mission.—The primary TPI statistical mission is in analysis of program data. This involves collection, data base management, and analysis of data on transportation expenditures and performance, transportation, and person and commodity movement.

Division of Research and Statistics, Board of Governors of the Federal Reserve System.—The Division of Research and Statistics and the Division of International Finance are major statistical and economic analytic offices. Within the Federal Reserve System, their major function is to provide analysis and information required by the Board of Governors and the Open Market Committee in the exercise of their responsibilities. In the exercise of these main responsibilities, Board staff are not only consumers of a very wide range of statistical data but also participate in the design and processing of some highly important reports that produce statistical information. Board staff are also active participants in interagency committees and other efforts aimed at the improvement of Federal statistics over a very wide range including both the nonfinancial world such as labor market, output, capacity utilization, and prices; financial and monetary statistics; and balance of payments statistics.

Mission.—As noted, the two Divisions are primarily analytical groups, but the Division of Research and Statistics and, to a much lesser extent, the Division of International Finance are also producers of highly important statistics, as noted above. Some of the key data produced at the Board rely heavily on other sources as major inputs, e.g., the index of industrial production relies on Census Bureau and other data, as well as on electric power consumer data (which is col-

lected within the System), and the flow-of-funds accounts use as inputs a tremendous array of data from other sources. But the System is also a primary source of information in other statistical areas, such as consumer credit, the money supply, and a large array of banking data (with the basic underlying numbers collected by the 12 Federal Reserve Banks).

Program Agencies

Most agencies of the government collect some statistical information in the course of their administrative operations. Some of these statistics are of limited general interest and are used primarily to aid the agency in administering or evaluating a specific program. Others, obtained as a byproduct of operating responsibilities in a specific field not only serve administrative purposes within the agency, but also contribute importantly to the store of statistical information which is of interest and value to other agencies and to the public.

For purposes of this review, only those agencies with 50,000 man-hours of reporting burden for statistical reports or \$3 million in identified budget expenditures for statistical activities are included (exceptions will be noted later).

The program collection and analysis agencies described below include the following:

1. HEW—

Alcohol, Drug Abuse, and Mental Health Administration.

Center for Disease Control.

Food and Drug Administration.

Health Care Financing Administration.

Health Resources Administration (except the National Center for Health Statistics).

Health Services Administration.

National Institutes of Health.

National Institute of Education.

Office of Education.

Office of the Assistant Secretary for Human Development.

2. HUD—Two program Assistant Secretaries—

Community Planning and Development.

Housing.

3. Transportation—

Federal Highway Administration.

National Highway Traffic Safety Administration.

4. Treasury—

Office of the Secretary, including the Office of Revenue Sharing and the Office of Tax Analysis.

5. Independent Agencies—

National Science Foundation.

U.S. International Trade Commission.

Veterans Administration.

Public Health Service (except National Center for Health Statistics), Department of Health, Education, and Welfare.—Each of the six components of the Public Health Service (PHS)—the Alcohol, Drug Abuse, and Mental Health Administration (ADAMHA), the Center for Disease Control (CDC), the Food and Drug Administration (FDA), the Health Resources Administration (HRA), the Health Services Administration (HSA), and the National Institutes of Health (NIH)—conduct statistical activities. The National Center for Health Statistics (NCHS) in HRA is the only Federal agency with the sole specific purpose to collect and disseminate data on health in the United States.

Many of these activities are conducted cooperatively with State and local governments. In fact, the CDC's morbidity data, like NCHS' vital statistics data, are compiled from State and local reports. The National Institute on Drug Abuse (NIDA) and the National Institute on Alcohol Abuse and Alcoholism (NIAAA) in ADAMHA work through Single State Agencies in each area to collect their data.

Mission.—CDC and the National Institute of Mental Health (NIMH), the third component of ADAMHA, collect general-purpose statistics on morbidity in the Nation and on mental health facilities and patient populations. NIDA, NIAAA, the National Institute for Occupational Safety and Health (NIOSH) in CDC, and HSA primarily collect program data on populations of drug abusers, alcohol abusers, persons with occupational illness and disease, and statutory beneficiaries treated in Public Health Service facilities and those in grantee operations. NIH, FDA, and the rest of HRA collect data incident to their research functions such as scientific and

administrative data to determine the causes, diagnosis, prevention, and cure of specific diseases; data on drugs and other consumer products regulated by the agency; and data on a host of experimental subjects, supply of health manpower, demand for health manpower, and other health manpower issues.

Education Division (except the National Center for Education Statistics), Department of Health, Education, and Welfare.—The Education Division of HEW, except the National Center for Education Statistics (NCES) which is in the Office of the Assistant Secretary for Education, is composed of the Office of Education (OE) and the National Institute of Education (NIE). Both OE and NIE reimburse NCES for the design and conduct of some of their statistical activities—in particular, many of those mandated by Congress. The Bureau of the Census in the Commerce Department also conducts several surveys for OE, including surveys of early childhood education, postsecondary education, adult education, and the basic opportunity grants program. OE, like NCES, cooperates with, and receives advice from, the Council of Chief State School Officers (CCSSO) in collecting statistical information from the Nation's public elementary and secondary schools. NIE does not have formal relations with State and local governments, although it has much contact with the research and academic communities.

Mission.—The statutory function of OE is administration of programs of financial assistance to educational agencies, institutions, and organizations. OE and NIE support evaluations of compensatory education. NIE provides leadership in the conduct and support of scientific inquiry into the educational process, provides knowledge about educational quality, and improves education. Therefore, OE is a program agency which primarily collects program statistical data, and NIE is also a program agency, but one which collects research data.

Health Care Financing Administration (except the Office of Research and Statistics, Social Security Administration), Department of Health, Education, and Welfare.—The National Center for Social Statistics (NCSS), Office of Information Systems, is responsible for providing general statistical information support for the major operating programs, including Aid to Families with Dependent Children (AFDC), medical assistance (Medicaid), and social services. Program sup-

port data include number of participants, total payments, services provided, applications and cases approved, characteristics of and location of recipients, work incentive (WIN), program activity, cost standards and payments, administrative costs, etc.

Program administration is by law largely decentralized to the State level and coordination with all States on reporting is required. Consequently, NCSS is wholly dependent on States for data with little direct control on quality or timeliness of data reported. Because the Social Security Administration and the rest of the Health Care Financing Administration (HCFA) administer the programs of Medicare and Medicaid respectively, there is a strong mutual interest between these agencies.

Findings of recipient characteristics studies conducted by NCSS are used in many agencies. Also data are provided by NCSS to many agencies including the Office of Education and the Office of Human Development in the Department of Health, Education, and Welfare (HEW), the Department of Labor, Department of Commerce, as well as to State and local agencies.

A major proportion of the statistical budget is expended on a special function of quality control operations concerning the programs on Medicaid and Aid to Families with Dependent Children. This operation is performed by the Office of Special Initiatives.

Mission.—The National Center for Social Statistics collects, analyzes, and publishes program-oriented statistical data on income maintenance, Medicaid and social service programs monitored under HCFA. It also provides statistical technical coordination, support and training to central office, regional and state statistical staffs. However, a refocusing of statistical activities of HCFA is anticipated in 1978 with the aid of a study to be completed in 1977.

NCSS coordinates, advises, and assists State welfare agencies in formulating and implementing better statistical information systems and promotes the establishment of higher standards for more timely and accurate statistical reporting. It also cooperates with Federal and State agencies in further developing and expanding the analysis and dissemination of statistics compiled by the Center.

Currently, NCSS mission is being intensively examined and its mission is being revised to include more analysis of the income population in relation to public welfare caseload expenditures covering more than one functional area and cutting across a number of departmental programs; for example, the work incentive program, a joint HEW-Department of Labor effort. This expansion also involves developing improved NCSS analytical and forecasting capabilities for relating different population categories within the low income population with the public assistance caseload.

Office of Assistant Secretary for Human Development, Department of Health, Education, and Welfare.—The Office of the Assistant Secretary for Human Development (ASHD) focuses attention on special populations of Americans. ASHD needs data on numbers of Americans in each of these populations eligible for receiving services throughout the Department. In some ways, ASHD acts as an advocacy office for consideration of the needs of special populations.

Mission.—ASHD focuses the Department's planning and resources on certain groups of Americans with special needs—children and youth, the aged, handicapped persons, American Indians and Alaskan natives, and people living in rural areas.

ASHD collects statistical data on children in day care, Headstart students, runaway youth, American Indians, persons with developmental disabilities, rehabilitation clients, and persons in the Federal nutrition programs for the aged. Many of these data are program statistics.

Offices of the Assistant Secretaries for Housing and Community Planning and Development, Department of Housing and Urban Development.—Two offices in the Department of Housing and Urban Development besides Policy Development and Research have important statistical activities: Housing (H) and Community Planning and Development (CPD). H prepares analysis on housing and housing finance, and collects and analyzes statistics that pertain to the operation of the Department's housing programs and the management of its properties. CPD conducts analysis relating to the Department's community development programs and activities, including planning and management assistance, inter-governmental relations, community and en-

vironmental standards, urban growth, and land acquisition policies.

Mission.—Both of these units provide statistical support to departmental programs. H collects, analyzes, and publishes statistics on Federal Housing Administration (FHA) operations (applications, commitments, dwelling units started, mortgages issued), and trends of home mortgage characteristics. It also collects and analyzes data on the characteristics of families in low-rent housing, on those who have applied for low-rent housing, but not been admitted; and on counseling provided to mortgagors defaulting on HUD-insured mortgages. CPD collects, analyzes, and publishes data on urban renewal operations and on recipients of Federal block grants for community development activities.

Federal Highway Administration, Department of Transportation.—The Federal Highway Administration (FHWA) compiles, collects, and analyzes data on highways and travel for direct use in the program activities of the agency, although many data are also used in reports required by statute elsewhere in the Department and the Federal Government, and by State and local authorities. Some data are collected by the Census Bureau through FHWA sponsorship of portions of the National Transportation Survey (cosponsored by the National Highway Traffic Safety Administration (NHTSA), the Office of the Assistant Secretary for Policy, Plans, and International Affairs (TPI), and the Urban Mass Transit Administration (UMTA)). Most statistics are, however, compiled from data collected by States, characteristically in accordance with FHWA guidelines and standards.

Mission.—The statistical mission of FHWA is collection and analysis of data to support agency programs with a focus on statistics about the construction, use, cost, financing, and administration of highways; motor vehicle registrations, taxation, and fuel consumption; traffic characteristics; highway mileage; and motor vehicle accidents.

Office of Statistics and Analysis, National Highway Traffic Safety Administration, Department of Transportation.—The National Highway Traffic Safety Administration (NHTSA) carries out programs relating to the safety performance of motor vehicles, related equipment, and drivers. Its Office of Statistics and Analysis collects data

on highway and motor vehicle safety and on safety program performance to make possible objective planning and evaluation of NHTSA's programs. All of NHTSA's statistics are produced for direct use in the agency, but they are also used by other agencies in the Department, such as the Federal Highway Administration. NHTSA both collects data directly from the public (e.g., the National Accident Sampling System) and through the medium of police reports and State records (e.g., the Fatality Accident Reporting System). It also contracts with other agencies to add questions to established data collection devices (e.g., with the Census Bureau to add questions on characteristics of the driving population to current household surveys).

NHTSA works closely with the private National Safety Council on statistical questions and extensively uses the Council's comprehensive data on accidents, injuries, and fatalities. NHTSA performs a technical support function for the National Highway Safety Advisory Committee (which is a public advisory committee to the Department of Transportation), and the Committee also advises NHTSA on statistical programs.

Mission.—NHTSA's primary statistical mission involves collection and analysis of highway and motor vehicle accident and safety data, and the establishment of program information systems.

Office of the Secretary, Department of the Treasury.—The Office of the Secretary is included among the statistical offices principally because of its data associated with the general revenue sharing program. In particular, two reports are required annually from the approximately 38,000 units of general-purpose local government which are the direct beneficiaries of the program. The two reports are the Planned Use Report and the Actual Use Report. Because these data do not have wide use outside of the Office of Revenue Sharing, the statistical role must be considered primarily one of statistical support to the Department.

Mission.—This office provides statistical data related to general revenue sharing. It contributes to policymaking in this special Federal/State relationship.

National Science Foundation.—The National Science Foundation (NSF) plays a key coordinating role in the collection, analysis, and dissemination of data on the:

1. Development and utilization of scientific manpower.
2. Funding of scientific and technical activities.
3. Selected science and technology output measures.

To carry out this activity the NSF conducts surveys of its own and, in many instances, contracts with other agencies and nonfederal organizations for the collection of data. For example, NSF uses the Census Bureau to collect R&D funding data from industrial organizations. Another example is the National Academy of Sciences which, under contract to NSF, is used to develop statistical information on a doctorate roster of scientists and engineers.

NSF also uses data on science and engineering manpower extracted from data collected by other Federal agencies, including:

1. Immigration and Naturalization Service in analyzing scientists', engineers', and physicians' migration patterns.
2. Civil Service Commission in analyzing Federal Government employment of scientific and technical personnel.
3. The National Center for Education Statistics.

Besides conducting regularly scheduled, periodic scientific and technological manpower and funding surveys among the principal economic sectors—government, industry, universities and colleges, and nonprofit institutions—the NSF also carries out special surveys and analyses to provide pertinent information related to current science policy issues. Examples of special efforts are a recent survey of young and senior university faculty support, research participation, and tenure; the development of R&D deflators; and statistical projection and evaluation efforts to assess the impact of emerging national programs on the requirements for R&D funds or for scientists and engineers in particular occupations.

NSF also sponsors a program for the identification, development, and collection of measures of output resulting from science and technology such as the number of patents granted and the number of citations appearing in published research journals. This particular effort is still in its very early stages of development.

Mission.—The major thrusts of the NSF statistical effort is the development of the factual and analytical basis for national planning and policy formulation in the area of science and technology resources.

U.S. International Trade Commission.—The U.S. International Trade Commission (USITC) is an independent agency. Most of the agency's statistical activity is undertaken by the Office of Trade and Industry and the Office of Economic Research. The agency has only a small statistical budget and does not have any reimbursable statistical programs with other agencies.

Mission.—The USITC conducts research relating to aspects of commercial policy and international trade. For example, it collects and analyzes data on the quantity of production and value of synthetic organic chemicals. Most of the agency's data collection activities, however, are conducted as special studies. The agency's statistical products frequently form the basis of policy hearings and are frequently collected at the request of the President or Congress.

Veterans Administration.—The Veterans Administration (VA) is an independent agency. Most of its statistical activity is housed in the Reports and Statistics Service (RSS) of the Office of Controller, a staff office reporting to the Administrator of Veterans Affairs. RSS is responsible for providing statistical support to the three line Departments (Medicine and Surgery, Veterans Benefits, Data Management) and to other staff offices. In addition, RSS also conducts its own statistical programs which usually involve collecting and analyzing data of general agency interest such as veterans population survey data. The Census Bureau is the only agency which has a continuing reimbursable program with VA. It assists VA in conducting veterans population surveys. The VA also reimburses the National Center for Health Statistics, on an "as needed" basis, for collecting data on the health status of veterans in the Health Interview Survey.

Mission.—VA develops policy on the basis of data which it mostly collects and analyzes itself. The agency deals with education, housing, construction, health, compensation and pension, and population statistics. RSS, as the principal statistical group in VA, also collects and analyzes general-purpose and administrative data.

Appendix Table A:
Agencies of the Federal Government with
Statistical Reports in the OMB Inventory

(remaining 43 are not in rank order)

(Remainder each have less
than 1% of the burden and
in total are equal to 1%
of the statistical burden)

Agency	Percentage of statistical manhour burden (OMB inventory)	
32 Agencies in the Special Analysis on Principal Federal Statistical Programs of the 1977 Budget of the U.S. Government which are included in the 38 Major Statistical Agencies.*	} 92%	USDA/Agricultural Marketing Service
22 Special Analysis Agencies which are not included in the 38 Major Statistical Agencies:**		USDA/Agricultural Stabilization & Conservation Service
USDA/Agricultural Research Service		USDA/Extension Service
USDA/Foreign Agricultural Service		USDA/Farmer Cooperative Service
Commerce/Domestic and International Business Administration		USDA/Farmers Home Administration
Commerce/Economic Development Administration		USDA/Food and Nutrition Service
Commerce/National Bureau of Fire Prevention		USDA/Forest Service
Commerce/National Oceanic and Atmospheric Administration		USDA/Rural Electrification Administration
Defense/Corps of Engineers		USDA/Soil Conservation Service
Interior/Fish and Wildlife Service		Commerce/Bureau of International Commerce
Interior/Mining Enforcement and Safety Administration		Commerce/Maritime Administration
DOJ/Drug Enforcement Administration		Commerce/National Bureau of Standards
DOL/Employment Standards Administration		Commerce/Office of Minority Business Enterprise
DOL/Occupational Safety and Health Administration		Commerce/Office of the Secretary/Departmental and other
DOT/Federal Railroad Administration		DOD/Defense Supply Agency
DOT/Urban Mass Transportation Administration		DOD/Office of the Secretary/Departmental and other
Treasury/U.S. Customs Service		HEW/Office of the Assistant Secretary for Health/Public Health Service
Civil Aeronautics Board		HUD/Equal Opportunity
Consumer Product Safety Commission		HUD/Federal Insurance Administration
Federal Home Loan Bank Board		Interior/Bureau of Land Management
Federal Power Commission		Interior/Bureau of Outdoor Recreation
Federal Trade Commission		Interior/Departmental and other
Interstate Commerce Commission		Interior/Geological Survey
Securities and Exchange Commission		Interior/National Park Service
Federal Reserve System*** (3.1)	} 7%	DOL/Bureau of International Labor Affairs
American Revolution Bicentennial Administration (1.2)		DOL/Departmental and other
HUD/Housing Management*** (.9)		DOL/Labor-Management Services Administration
HEW/National Institute of Education*** (.5)		State/Agency for International Development (AID)
DOD/Army, Navy and Air Force (.5)		State/except AID
U.S. International Trade Commission*** (.4)		DOT/Coast Guard
DOT/Federal Aviation Administration (.2)		DOT/St. Lawrence Seaway Development Corporation
DOJ/Departmental and other (.1)		ACTION
Energy Research and Development Administration (ERDA) (.1)		Civil Service Commission
		Committee on the Review of the National Policy Toward Gambling
	Community Services Administration	
	National Aeronautics and Space Administration (NASA)	
	National Credit Union Administration	
	National Foundation on the Arts and Humanities	
	National Gallery of Art	
	Selective Service System	
	Small Business Administration	
	Tennessee Valley Authority	
	U.S. Commission on Civil Rights	

See p. 481 for Notes to Table A.

Appendix Table B:
Major Agencies in the Federal Statistical System,
by Statistical Manhour Burden and Statistical Budget,
by Type of Statistical Agency

Type of Statistical Agency	Statistical manhour burden (OMB inventory as of March 31, 1976) ¹	1977 Statistical budget (in millions of dollars, as reported to OMB & reflected in the U.S. Budget)
<i>Core Multipurpose Collection</i>		
Statistical Reporting Service, USDA	629,049	38.7
Bureau of the Census	6,329,976	91.9
Bureau of Labor Statistics	1,726,063	74.2
<i>Functional Multipurpose Collection</i>		
National Center for Education Statistics	646,303	13.0
National Center for Health Statistics	402,016	24.0
Policy Development & Research, HUD	13,069	9.9
Bureau of Mines	224,688	12.6
Federal Bureau of Investigation	278,450	2.6
Law Enforcement Assistance Administration	?	35.1
Employment and Training Administration	1,228,107	22.6
Internal Revenue Service	?	12.5
Environmental Protection Agency	17,153	21.4
Federal Energy Administration	?	10.4
<i>Core Multipurpose Analysis</i>		
Economic Research Service, USDA	18,659	7.2
Bureau of Economic Analysis	412,633	12.5
Social Security Administration	705,202	27.0
Assistant Secretary for Planning and Evaluation, HEW	60,344	5.0
Office of the Secretary, Transportation	136,158	2.9
Federal Reserve Board	539,039 ²	? ³
<i>Program Collection and Analysis</i>		
<i>HEW</i>		
Alcohol, Drug Abuse, and Mental Health Administration	88,686	9.7

Center for Disease Control	231,264	4.1
Food and Drug Administration	311,562	2.1
Health Care Financing Administration (except SSA/ORS)	88,780	5.4
Health Resources Administration (except NCHS)	13,096	1.4
Health Services Administration	26,226	3.2
National Institutes of Health	299,367	26.4
National Institute of Education	84,593	?
Office of Education	51,319	8.3
Assistant Secretary for Human Development	15,503	8.3
<i>HUD</i>		
Community Planning and Development	?	?
Housing	198,689	1.4
<i>Transportation</i>		
Federal Highway Administration	317,475	4.5
National Highway Traffic Safety Administration	130,206	13.2
<i>Treasury</i>		
Office of the Secretary including Office of Revenue Sharing	496,550	.1
<i>Independent</i>		
National Science Foundation	97,403	3.7
U.S. International Trade Commission	61,632	?
Veterans Administration	78,325	1.1

¹ Hours of statistical manhour burden are those reflected in the OMB inventory of federally sponsored data collection efforts which are subject to the Federal Reports Act of 1942, as amended, and cleared through OMB.

² The statistical manhour burden estimate as of March 31, 1976 for the Federal Reserve Board includes some statistical activities which have since been reclassified as not subject to the Federal Reports Act.

³ The Federal Reserve Board does not report its budget for statistical activities to OMB. This is not the only agency which is excluded from this budget preparation activity.

Notes for Appendix Table A.

*The 6 major statistical agencies which are not included in the Special Analysis on Principal Federal Statistical Programs are:

Executive Office of the President/Office of Management and Budget/Statistical Policy Division
DHEW/National Institute of Education
HUD/Office of the Assistant Secretary for Housing (in part)
HUD/Office of the Assistant Secretary for Community Planning and Development
Federal Reserve System
U.S. International Trade Commission

**The Special Action Office for Drug Abuse Prevention is the 55th agency in the Special Analysis but since it no longer exists, it is not included in this category.

***These 4 agencies are included in the 38 major statistical agencies.

HOUSING AND COMMUNITY DEVELOPMENT

Introduction

Housing and community development statistics have many interrelationships with other functional areas, notably with demographic, construction, finance, and price statistics. While it is not possible to discuss housing without reference to such other areas, attention in this chapter will be concentrated on addressing those aspects which have peculiar significance for housing.

Responsible Agencies and Core Programs

Collection Agencies.—The Housing Division of the Bureau of the Census oversees the collection of the most important body of data regarding the housing inventory which comprises a large component of the Nation's physical wealth. The major programs administered by the Housing Division are the housing portion of the Decennial Census of Population including a follow-on Survey of Residential Finance and a separate sample of the components of inventory change, the Annual Housing Survey, the Quarterly Housing Vacancy Survey, and the Quarterly Survey of the Market Absorption of New Apartments.

The most basic of the data programs are the censuses of population and housing which provide detailed data on salient characteristics of housing and its occupants for all localities in the Nation. The periodic census data are supplemented on a current basis by the Annual Housing Survey (AHS) which provides updates primarily on a national basis. The AHS is structured so as to show the components of inventory change (e.g., additions, losses, and mergers) as well as the changes in the characteristics of households occupying a panel of the same housing units over time. The AHS includes 3 rotating panels of 20 metropolitan areas each year for a total of 60 areas over a three year cycle.

The Bureau of the Census provides current data on the functioning of the housing market on a national and regional level. The survey of vacancy rates for units for sale or rent, the survey of market absorption of new units in multifamily structures and the survey of completion of single and multifamily units as well as the survey of sales of new one-family homes indi-

cate the characteristics of new conventional housing units coming on the market and the rate at which units are absorbed. The recently introduced mobile home placement survey attempts to fill the same function for new mobile homes. The mobile home survey is expected to play a key role in ensuring that this significant source of new residential units is covered adequately in the sampling frames for the Census surveys. Data produced by the Bureau of the Census on construction activity, including new work and alterations and repairs are also relevant to the functioning of the housing market. These programs are described in the chapter on Construction Statistics.

The Bureau of Labor Statistics (BLS) is also a source of basic data concerning the housing inventory. The information is provided as part of the BLS Consumer Price Index and the Consumer Expenditure programs. The price index program supplies separate monthly estimates for owners and renters of trends in the components of housing costs for the Nation, four regions, and 25 cities. The Consumer Expenditure program includes data every 10 years on actual consumer expenditures for housing summarized by size of city and region. Plans for the Consumer Price Index and the Consumer Expenditure Survey are discussed in the chapter on labor statistics.

Analytic Agencies.—The chief analytical agency in the housing field is the Department of Housing and Urban Development (HUD). Within HUD the Office of the Assistant Secretary for Policy Development and Research contains the largest emphasis on analytic efforts. The Assistant Secretary for Housing and the Assistant Secretary for Community Planning and Development also have separate evaluation units responsible for analysis devoted to their respective areas. The statistical programs supported by the Assistant Secretary for Policy Development and Research (PD&R) include the Annual Housing Survey (AHS), the Survey of Market Absorption of New Rental Units, the Survey of New Housing Completions, the Survey of Sales of New One Family Housing and the Survey of Mobile Home Placements. In addition, PD&R coordinates a system of 11 monthly surveys which provide detailed data on gross flows of

mortgage loans and originations of construction and land development loans. The surveys are conducted by private trade associations as well as by Federal credit agencies and the Bureau of the Census.

PD&R is currently strengthening its capability to analyze the microdata tapes made available from the AHS. This should improve the Department's ability to monitor housing quality and the general performance of the market. The largest analytical effort handled by PD&R is the Housing Allowance Experiment involving demand, supply, and administrative components. This complex undertaking in the housing field is roughly analogous to the income maintenance experiments.

The Office of the Assistant Secretary for Housing provides a continuing series on the characteristics of insured mortgage transactions. For various reasons, the Federal Housing Administration (FHA) insured share of the housing market has declined significantly. Data based on these transactions, however, provide some of the most important insights concerning the characteristics of the current market. The Office also provides detail on the characteristics of families moving into low rent public housing and other subsidized housing units and families re-examined for continued occupancy.

The Office of the Assistant Secretary for Community Planning and Development (CPD) oversees the distribution of planning funds, a portion of which are used by State and local governments for gathering statistics of housing used for local planning. In addition, CPD is responsible for oversight of the distribution of Community Development Block Grant (CDBG) funds under the Housing and Community Development Act of 1974. These funds are allocated to recipients on the basis of a legislatively mandated formula.

The Farmer's Home Administration and the Rural Development Service of the Department of Agriculture are concerned with the analysis of rural housing. This is defined in the Housing and Urban Development Act of 1965 as housing in "... any open country, or any place, town, village, or city which is not part of or associated with an urban area. . . ." In addition to these agencies, the Economic Research Service has devoted considerable effort to the analysis of the rural and farm housing situation.

The Veterans Administration provides data on the characteristics of mortgage loans guaranteed under the VA Loan Guarantee program for the veteran population.

The final group of agencies includes the federally sponsored financial agencies which in one way or another have a significant bearing on mortgage market developments. These agencies include the Federal Home Loan Bank Board, the Federal Home Loan Mortgage Corporation (FHLMC), the Federal National Mortgage Association (FNMA), and the Government National Mortgage Association (GNMA). Each of these agencies is vitally concerned with financial transactions in its area of responsibility and, provides considerable detailed information on the nature of current financial transactions relating to housing. In addition, the Federal Reserve Board maintains detailed statistics on mortgage debt outstanding in support of its general responsibility for monetary policy.

User and Policy Groups

Statistics on the progress of housing and community development are of concern to the housing subcommittees of the Congress, to whom the Department of Housing and Urban Development (HUD) is required to report each year on progress in achieving the Nation's housing goal. Among other things the Department is required to "... compare the results achieved during the preceding fiscal year . . . with the objectives established for such year under the plan. . ." and indicate necessary revisions in objectives (Housing and Community Development Act of 1968).

Additional broad policy areas for which statistics of housing and community development are of concern to government and private groups include:

1. The construction and marketing of housing is followed closely by economic policymakers as a key sector of the national economy for which policy action has frequently been taken in order to help counter excessive expansion or contraction of activity in other sectors as well as housing.
2. Detailed local data on housing and community development are required by HUD and other Federal agencies for the distribution of Federal grant funds, the underwrit-

ing of mortgage insurance, and the orderly functioning of financial markets.

3. State and local governments are concerned with data comparing their situation with other communities and for determining priorities in government efforts to improve housing and neighborhoods.

Groups involved in every phase of housing and community development activity are concerned with the availability of data in their areas of particular concern. These groups include associations of State, county and local governments, including regional organizations; organizations of government officials and others with concern for public housing, urban development and planning; organizations involved in all aspects of building and marketing; and groups concerned with the housing of particular population groups, such as the elderly, the handicapped, and American Indians. On a continuing basis their data needs are made known to HUD and other agencies through extensive interaction at national and regional conferences. Additional opportunity for discussion of data needs is provided by the establishment of Census advisory committees to facilitate suggestions from outside experts concerning the content of quinquennial censuses of housing. Periodic conferences to discuss the content of the Annual Housing Survey with outside experts are conducted by HUD. Occasional reviews of selected aspects of housing and community development policy have helped to clarify the Federal role and to identify data needs. The most recent of these, and perhaps the most important in terms of the implications for housing statistics, was an in-house effort conducted by HUD in 1973 (*Housing in the Seventies, A Report of the National Housing Policy Review*). In the late 1960's the Douglas and Kaiser Commissions' reports also addressed the need for statistics within the context of broad reviews of urban policy and housing.

Adequacy of Housing and Community Development Statistics

The adequacy of the basic programs providing statistics relevant to housing and community development is discussed under four broad headings: housing need, allocation of block grant funds, housing market analysis, and community development.

Federal requirements for statistics in these areas lie somewhere between data series providing a broad overview of national and regional trends and detailed data required for the analysis of current activity in individual local housing markets. Consequently, it is necessary to examine the degree of Federal responsibility for providing for local area data (for related discussion see the crosscutting paper on Federal/State Cooperative Systems of Data Collection). As mentioned earlier, current Federal requirements for local area data derive most immediately from the Housing and Community Development Act of 1974. Specifically, they include the allocation of funds through formula grants for community development (Title I) and housing assistance (Title II). Additionally, local data are required to assess the ability of local housing markets to absorb housing units provided under programs of mortgage insurance. The priority needs for local area data concerning housing and community development can be summarized as a need to ensure equity in the distribution of funds; that is, to ensure that funds are distributed according to particular categories of need, and to control underwriting losses.

The alternatives for dealing with the requirements for local area data range from making do with present data programs, which means basically relying on periodic censuses, to the initiation of a vast new Federal effort to supply local area data on a current basis either directly or through underwriting locally initiated contacts. Somewhere in between these extremes are Federal efforts to help improve the useability of data produced as a by product of local programs, such as code enforcement, developing some local data by minimal expansion of current national and regional data programs and by using privately produced data.

Federal policy with respect to the provision of local area data should avoid doing nothing additional and trying to provide all the local area data that it would be useful to have for analytical purposes. The recently authorized mid-decade census program should provide benchmark data useable for updating the data employed in formula grants to minimize any gross inequities which may have resulted from the allocation of funds on the basis of decennial censuses. Provision for meeting Federal data needs on a continuing basis for analyses of cur-

rent activity in local housing markets should be limited to the establishment of a new series on the characteristics of existing transactions and significant improvements in data on housing vacancy rates and administrative data on publicly owned or assisted housing.

The Federal Government should resist pressure to play a significant financial role in providing additional local area housing and community development data, much of which would be of low priority to many communities. A more promising approach to helping to satisfy local data needs in this field is to continue to encourage local governments to make the maximum possible use of data produced in the course of local government administration. Consideration should also be given to the use of data produced by utilities and firms specializing in the production of local data. Locally produced data, available in a conceptually standardized form and benchmarked to mid-decade or decennial censuses, should provide an adequate basis for determining local priorities involving housing and community development.

Housing Need.—Current Federal requirements for data concerning housing need derive from the Housing and Community Development Act of 1968 which stated the goal "... of a decent home and a suitable living environment for every American family." Monitoring of progress towards that goal requires periodic detailed information concerning the characteristics of the population and its housing. Such information is provided every 10 years by the decennial censuses of population and housing and, on a national basis, annually by the Annual Housing Survey. Together these two programs are adequate vehicles for obtaining data broadly descriptive at the national level; however, there are important shortcomings in the data presently collected through these programs for assessing the adequacy of the housing inventory.

Assessment of progress toward the national goal requires reevaluation of what constitutes the attributes of adequate housing and neighborhoods. The former measures of physical condition which users combined in a concept of "standard housing" was used with relatively minor variations in the censuses of 1940, 1950, 1960, and 1970 dealt only with certain of the physical attributes of individual structures. A new measure (or measures) should include: (1) the physical characteristics of the structure and

its equipment, (2) objective measures of the environment of the neighborhood including community facilities or services, and (3) occupancy characteristics such as crowding, economic burden, suitability, and occupant satisfaction. Moreover, the former measure is obsolete in that: (1) research during the mid-1960's demonstrated that it was not possible to produce consistent ratings for individual housing units and areas smaller than census tracts and (2) it cannot be adapted to the self-enumeration techniques currently employed in the census.

Orderly progress in the development of measures of housing and neighborhood adequacy require a continuing developmental effort. The effort should be coordinated by the HUD Office of the Assistant Secretary for Policy Development and Research and should involve the active participation of the Bureau of the Census and the Departments of Health, Education, and Welfare; Agriculture; and Labor.

HUD should also coordinate investigation of the relationships between housing and neighborhood characteristics and a variety of social economic phenomena. Among these are the relationships between housing and health, crime and neighborhood change, crowding and housing deterioration. Priority for study of the relationships should be given to the geographic areas of greatest concern, for example, the core census tracts of central cities, and rural communities.

Assessment of progress towards the national goal also requires improved measures of the economic resources available to families in relation to their demographic characteristics, life stage and satisfaction with house and neighborhood. This will permit assessment of the balance between the supply of housing of various types in relation to the ability to pay for it, including estimation of the amount of shortfall in economic resources for various groups in the population. With respect to economic resources, the decennial census and the Annual Housing Survey provide estimates of family income, but do not provide estimates of wealth. Improvements in the estimates of income and of wealth are part of the developmental program for the Survey of Income and Program Participation under development within the Department of Health, Education, and Welfare (DHEW). Improved estimating procedures should be introduced into

the Annual Housing Survey and, to a more limited extent, into the decennial census as soon as possible after development. Data relating to the cost of housing to the occupant should be improved through the introduction of estimates of the cost of maintenance and repair into the Annual Housing Survey program or alternatively into some vehicle such as the Survey of Residential Additions, Alterations, Maintenance and Repair.

Another aspect of housing need concerns the value placed by the occupants on the stream of housing services received from renter and owner occupied subsidized housing. Subsidized housing is a significant type of "in-kind" income for which the recipient's valuation is needed as an important input to the determination of the extent to which programs should be "cashed out." At the present time, little is known about the recipient's valuation of assisted housing. In order to provide data in this area, HUD should work closely with DHEW's developmental effort related to the Survey of Income and Program Participation.

Data on the inventory of mobile homes used or intended for use as residences is another area in which available data are deficient for assessing the adequacy of the housing stock relative to need. Improved data on the housing role played by mobile homes is of great importance because mobile homes are an essential source of new private housing for families in the lowest third of the income distribution. To obtain data on the characteristics of mobile homes and their occupants, HUD should play a major role in developing a follow-on survey to the 1980 census.

In order to monitor changes in the housing stock relative to need, policymakers need to go beyond a purely descriptive approach to current data about the process through which change takes place. Change in the housing stock takes place through the addition, loss, division or combination of housing units. It is also frequently associated with changes in the population living in units basically identifiable as the same units over time. Data concerning the process of change is provided on the national level by the components of inventory change of the Annual Housing Survey. The components fill what was previously a serious gap in current data by making it possible to follow annual trends in the location, magnitude, and charac-

teristics of housing losses and additions, and to evaluate requirements for new units in relation to the overall housing stock. The process of change in the population associated with the same units can be analyzed using data based on reinterviews of a fixed panel of the Annual Housing Survey, thus providing data relevant to the analysis of factors associated with the maintenance or deterioration of housing over time.

Allocation of Block Grant Funds.—Title I of the Housing and Community Development Act of 1974 provides for the distribution of significant funds to local areas including metropolitan cities and urban counties according to a three-factor formula involving population, extent of housing overcrowding, and extent of poverty. In order to maintain the comparability of the data among localities, it is necessary to employ data obtained from a common source. Current population estimates are used by HUD to update the population factor; however, the most recent source of comparable data for the remaining factors is the 1970 decennial census. As the age of the census data increases, the data are becoming less and less descriptive of the actual distribution of these factors.

Title II of the 1974 act imposes two additional data requirements as a basis for determining the allocation of housing assistance to local governments. Housing vacancies and substandard housing are specifically mentioned in addition to population, overcrowding and poverty, which are used for Title I. For small areas, the additional information is available only from the 1970 decennial census. Moreover, the usefulness of vacancy data is relatively shortlived and subject to rapid change due to changing market and seasonal conditions. In order to minimize the inequities resulting from the allocation of funds on the basis of decennial censuses, the mid-decade census program must be used to provide benchmark data for updating the data employed in formula grants.

Housing Market Analysis.—Concerns with both the supply and demand for housing are included in this topic. HUD and other agencies have a need to monitor changes in both sides of the market in order to develop policies for the national as well as the local housing market that will help assure a reasonable balance. On the supply side of the market, data are needed on interest rates, the volume and terms of transac-

tions in existing units, costs of housing production and the extent of construction activity. On the demand side, data requirements include demographic estimates and projections, detailed estimates of the economic status of families, characteristics of market transactions and current intentions with respect to moving. Since much of the data of importance for analyzing the balance between the supply and demand for housing is covered in other chapters, only those aspects not covered elsewhere will be reviewed here.

At the broadest level of analysis, currently available data generally provide a moderately adequate overview with respect to major trends in housing supply and demand. Demographic estimates and projections indicate the trend of family formation and increases in the population; series on family income and factor costs indicate short and long-term trends in the ability to pay for housing; and data series on construction starts and market absorption pinpoint current construction activity. In addition, the Annual Housing Survey provides information on the major components of change in the housing stock, vacancy rates, and trends in the balance between the housing stock and the population to be housed.

While data are generally useful for an overall assessment of trends, important specific weaknesses exist in a number of areas. The housing situation of particular population groups of concern such as the elderly and welfare recipients is known only in the most general terms due to the difficulty of sampling groups that form a fraction of the overall population. Little is known concerning the market for housing of special types, such as housing limited to occupancy by the elderly, or seasonal housing. Information concerning mobile homes, their occupants and their placement remains fragmentary. Another area of data weakness relates to the characteristics of transactions involving the sales of existing homes, which is the way many families accommodate their need for a change in housing.

In spite of the areas mentioned above in which the lack of data hampers analyses of situations with broad national policy implication, the data on a national basis are incomparably better than for local areas. Federal agencies require reasonably current housing related data for local areas in order to assist in reviewing the

viability of local government and private plans for building housing with direct Federal subsidies, Federal mortgage insurance or guarantees, or with loans from federally regulated financial institutions.

Every 10 years the decennial census provides a rich source of comparable data for all localities. Beginning in 1985 much local data should become available as part of the quinquennial census program. As mentioned earlier, in 60 Standard Metropolitan Statistical Areas (SMSA's) data are available every 3 years from the Annual Housing Survey. For markets other than the 60 SMSA's housing permits constitute the principal data series developed on a comparable basis for all active housing markets. For current data in the balance of the metropolitan areas, only local data of variable quality are available.

The need for improved current data for market analysis at both the national and local level is particularly evident with respect to (1) vacancy data, (2) existing home prices, (3) the volume of transactions and characteristics of buyers and renters of existing units and, (4) mobile home placements.

Data giving the characteristics of vacant units available for rent or sale are among the most important indicators of the operation of local housing markets. In determining the ability of local markets to absorb new units, Federal agency field staffs are required to approximate vacancy rates from sources such as utility meter hookups and postal vacancy surveys.

Information on existing home transactions, including selling prices, and rental transactions in existing units is fragmentary. The only available current monthly series is derived from a sample of real estate brokers and provides data for the United States and four regions on the number of transactions and sales prices. Owner and renter transactions in existing housing are several times more numerous than new home purchasers and thus should provide a sensitive indicator of the extent of choice for all segments of the housing market. Mobile home placements constitute a data problem because of the varying practices of local jurisdictions with respect to the issuance of permits and their taxation as personal as opposed to real property. Consequently, while shipments from dealers are reported, it is not possible to tell on a current basis

for individual local market areas to what extent mobile homes are being sold for permanent year-round use, and in what jurisdictions they are located. The absence of current information of this nature hampers analysis of the number of housing units many individual local markets can absorb in the critical area of low cost housing.

The need for improved data for housing market analysis should be met through more frequent updating of benchmark data, through selective improvements in current data series, and through additions to survey programs focusing on subgroups of the population. The requirement for improved benchmark data should be met by the inclusion in a mid-decade census of basic housing data such as occupancy status, value, rent, and housing expense. To provide current vacancy data on a local basis consideration should be given to the use of existing commercial directory services and the encouragement of the standardization of local utility data and local occupancy permits. In special situations of unusually active local markets consideration should be given to one-time surveys conducted by the Bureau of the Census.

The need for data on existing housing transactions, including purchase or rental terms and the characteristics of the households involved should be met through the initiation of a HUD sponsored survey conducted by the Bureau of the Census and providing data for selected individual active market areas as well as for the Nation. Data on mobile homes should be improved through the expansion of the series on mobile home placements so that it becomes comparable in extent to the housing starts series. A means should also be found of providing data on mobile homes transactions comparable to data obtained for existing housing. Finally, special-purpose surveys such as the periodic surveys of the aged and disabled should be more fully utilized as possible sources on the housing situation of special groups.

Community Development.—Federal requirements for data concerning community development are considerably less well developed than for housing. However, the inclusion of a requirement in the International Investment Survey Act of 1976 the “the President shall conduct a study of the feasibility of establishing a system to monitor foreign direct investment . . . including the feasibility of establishing

a nationwide multipurpose land data system . . .” provides a means for examining the full extent of Federal data needs in this area. Requirements for urban land use statistics on a comparable basis derives from concerns with environmental quality, energy conservation, transportation, the provision of community services, and the preservation of farm land. Currently available land use data on a comparable basis across jurisdictions were developed for limited purposes such as tax assessment or single-time transportation studies and are not comparable from area to area. Sources of land use data include local governments, special transportation studies, studies of the Corps of Engineers, maps of the National Geodetic Survey and the Geological Survey, studies conducted by the Department of Agriculture, data collected in the housing census and the shelter survey conducted by the Defense Civil Preparedness Agency.

While of unknown extent, existing duplication of data gathering efforts for direct Federal purposes or local purposes partly financed through Federal funds is probably considerable. The outlays of the Defense Civil Preparedness Agency are illustrative. It is estimated that \$1 1/2-\$2 million is spent annually in updating the inventory of shelters. Since the buildings in which shelters are found are located on parcels of land, it is conceivable that the inventory of shelters could be accommodated as part of a general land use inventory. Although quantitative data are not available, it is safe to say that an even more important use in terms of dollar outlays is the employment of land use data in land use planning, especially in transportation planning.

A program which would provide a significant portion of the land use data needed for the multiplicity of uses would be a large undertaking. Because of this, a development program is needed which will experiment with alternative frameworks for what could become a multipurpose vehicle having both local and national uses. Consideration should also be given to a national survey of land use to provide data relevant to national energy, environment, housing and community development policy formulation.

The experience of the Geography Division of the Bureau of the Census in developing maps and computer generated addresses lists for the

decennial censuses suggests that agency as the best location for the activity.

Data needs with respect to plans for the construction of community facilities are concerned with the anticipation of government demands for investment funds and with the economic stimulus that is expected to result from actual construction. Currently, the absence of an organized body of data makes it difficult to anticipate local government demands for funds which are an important element of demand in competition with funds to finance residential construction. As a consequence, policymakers in the Federal agencies with responsibility for housing are hampered in carrying out policies designed to maintain an orderly pace of residential construction. In addition, in periods of low economic activity it is useful for policymakers to know to what extent economic activity could be stimulated through policies designed to accelerate the construction of local facilities for which the planning stage has been completed. To meet those needs the Bureau of the Census should study the feasibility of initiating a continuing survey program which would provide on a national and regional basis estimates of the dollar value of community facilities construction included in long-range capital budgets, by type of facility, budget priority and financing plans.

Coordination.—Two areas stand out as being in need of more coordination to ensure that the statistical needs outlined in this chapter are met. The first of these is the need for a cooperative program for local area data on housing and community development statistics. The second area is the need for a lead agency to exert a vigorous, continuing leadership role in all aspects of housing and community development statistics. Each of these areas is discussed in turn.

In the discussion of Federal requirements for local area data, a recommendation was made that local area data be relied on as much as possible to provide updates of data produced through the decennial and mid-decade programs. Implicit in this recommendation is the notion that systematic exploitation of data for statistical purposes would be possible for data that are produced as a part of the operation of local governments. As indicated in the chapter on Federal/State Cooperative Systems of Data Collection, a significant degree of such cooperation exists. However, relatively little in the way of Federal/local cooperative statistical efforts is

to be found in the area of housing and community development statistics. Differences in definitions, method of data collection, the extent of quality control and differences of geographic boundaries of administrative subdivisions generally preclude meaningful comparisons between communities, or even within the same community over time.

Difficult as the problem may be of introducing a minimal degree of standardization into selected local statistics of housing and community development, the potential return to serious efforts should be significant. At this stage what is needed is the designation of a lead agency to assess the potential for a cooperative Federal/local statistical program. The lead agency would need to identify potential users and their data requirements, facilitate the determination of priorities and propose approaches to continuing coordination.

Currently, no one agency attempts to coordinate Federal and local cooperation in this subject area. Private, local, and State outlays dwarf Federal outlays for housing and community development. At the same time, HUD has been assigned the role of reporting to the Congress on progress in meeting national housing goals, including its environment. HUD is therefore the most appropriate agency to take the lead in exploring the benefits and costs of one or more Federal/local cooperative statistical programs and appropriate mechanisms for organizing the effort.

Assuming the preliminary assessment to be favorable, experience with the development of cooperative systems in the fields of education and health indicates that any continuing systems would evolve slowly. Important first steps in the process would involve the identification of Federal requirements for housing and community development statistics for local areas and bringing the possibilities in this area to the attention of government and professional groups focusing on local area concerns. The appropriate organizational site within HUD for the developmental phase of this effort would be a center for housing and community development statistics which is described in the remainder of this section.

There is currently no single organizational unit which has been given the assignment and technical skills necessary to enable it to take a leading role in fostering improvements in Fed-

eral housing and community development statistics. In the absence of such a focal unit, advances in statistics have been spotty, and there have been significant delays in addressing emerging needs. For example, there are no data on the characteristics of mortgage transactions underwritten by private mortgage insurers (PMI's) despite the fact that PMI's have replaced HUD as the principal source of residential mortgage insurance.

Creation of a Federal statistical center for housing and community development would place these fields on a par with the fields of health and education which have established centers that are in a position to extend considerable leadership within their respective areas. The Department of Housing and Urban Development, as the agency with the most immediate Federal involvement, would be the logical site for a statistical center for housing and community development statistics. The HUD Office of the Assistant Secretary for Policy Development and Research contains many activities which should be incorporated in such a center. In preparation for the establishment of a statistical center a study should be conducted to recommend the specific functions to be performed, lead agency responsibilities, and to develop alternative proposals concerning the organizational location.

Programs to be Discontinued.—Potential savings in statistical programs might be made in the outlays made by State and local governments for the collection of data, much of which is financed out of Federal grants. For example, a significant proportion of the approximately \$60 million HUD annual outlays for the support of local planning is expended for the purpose of providing updated data on land use, housing condition and the physical plant of local governments. While the cost of the supported data programs is not available, it is estimated that some 5% of the annual Federal outlays in this program area is for data collection and processing. To the extent comparable data are made available for local use through programs such as a mid-decade census or through estimation procedures, some portion of the current outlays could be applied to other activities.

Assuming that the Bureau of Labor Statistics (BLS) is successful in developing a survey of new housing prices, as part of the Consumer

Price Index program, consideration should be given to consolidating or possibly discontinuing the Census survey of new home prices. Alternatively, BLS should discontinue its efforts and use census data.

Another program which can most probably be eliminated is the components of change portion of the 1980 housing census program. The Annual Housing Survey should provide equivalent data in all important respects.

Summary of Recommendations

Recommendations for new programs which apply to several headings shown below are listed only under the first heading where they appear.

The Federal role in statistics

1. Federal policy with respect to the provision of local area data should avoid the extremes of doing nothing additional and trying to provide all the local area data that would be useful. Major reliance for improving the quality of local area data should be placed on a mid-decade census program to provide benchmark data for the allocation of formula grants and to improve the utility of data produced in the course of local government administration and by private organizations.

Housing need

2. The HUD Office of the Assistant Secretary for Policy Development and Research should coordinate a continuing interagency developmental effort on the reevaluation of the attributes of adequate housing and neighborhoods. This effort should include investigation of the relationships between housing and neighborhood characteristics and a variety of social and economic phenomena which are developed in the new income survey program.
3. Improved estimates of income and wealth which are developed in the DHEW Survey of Income and Program Participation should be introduced into the Annual Housing Survey as soon as possible after development.
4. HUD should play a major role in developing a follow-on survey to the 1980 Census to obtain detailed characteristics of mobile homes.

Housing market analysis

5. Consideration should be given to the extension of the Annual Housing Survey to additional active housing markets.
6. Improvement in the series on mobile home placements should be initiated which will make it comparable in extent to the housing starts series.
7. The need for data on existing homes transactions should be met through the initiation of a HUD sponsored survey conducted by the Bureau of the Census and providing data for selected active market areas as well as the Nation. Comparable data should be provided separately for existing mobile home transactions.

Community development

8. An activity should be established in the Bureau of the Census to experiment with alternative frameworks for a multipurpose cooperative statistical program for land use data. Consideration should also be given to

a national survey of land use to provide data relevant to national energy, environment, housing and community development policy formulation and monitoring foreign investment in land during the period in which a cooperative statistical program is being established.

Coordination

9. The Office of the Assistant Secretary for Policy Development and Research (HUD) should be assigned the lead responsibility for exploring the feasibility of initiating Federal/local cooperation in the standardization of local area data on housing and community development.

10. A study should be conducted to develop recommendations for the formation of a national center for housing and community development statistics to be located in the Department of Housing and Urban Development.

LONGITUDINAL SURVEYS

Background

Analysts of statistical data have always known that data collected at and about a single point in time do not have the analytical power to determine causality or even temporal correlation. The analysis of sequential cross-sectional survey data provides trend information, however, this method of analysis can only yield inferences about the correlates of change, not direct measures. As a result, longitudinal techniques have been developed which associate data about the same individual respondent obtained at different points in time. Researchers have frequently developed retrospective longitudinal data by ascertaining past events either in surveys, through respondent recall, through the use of administrative records or a combination of both. Most of these attempts have been flawed because it is difficult, if not impossible, for a respondent to recall accurately his status, actions or attitudes at several fixed points in time in the past. It is also a rare investigator who finds that past administrative records meet his particular needs.

In response to these problems there has been an increasing emphasis on the development of longitudinal surveys which use a prospective framework. In this way, the investigator has some control over recall, by conducting interviews at appropriate intervals, and, to the extent feasible, over administrative records by influencing their content. The construction of a prospective longitudinal file, begins in the present and extends into the future rather than into the past. Thus, longitudinal analysis cannot occur until after a significant passage of time.

This paper is not designed to be an exhaustive treatment of the advantages and problems associated with longitudinal surveys, but only a review of some of the advantages and some of the problems inherent in this technique.

Many Federal agencies have accepted the impediment of the extensive time span between collection and analysis and have implemented a number of prospective longitudinal surveys. One of the pioneering activities in the United States was the Framingham study of cardiovascular diseases. This study, begun in 1948 by the

Public Health Service, selected a cohort of over 5,000 persons and has attempted to follow them and give them physical examinations at 2-year intervals. The purpose of the study was to attempt to isolate the correlates of hypertensive and arteriosclerotic cardiovascular disease.

An early example of socioeconomic interview surveys was the set of longitudinal studies of the labor force behavior of various age-sex cohorts, funded by the Manpower Administration (now the Employment and Training Administration) and collected by the Census Bureau for analysis by the Ohio State University under the direction of Dr. Herbert Parnes. The "Parnes Studies," as they are popularly called, began in 1966 and continue to the present.

Another early entrant was the Longitudinal Retirement History Survey sponsored by the Social Security Administration (SSA), and again, collected by the Bureau of the Census. Like the Parnes Study, this was also an interview survey of a general sample of the population. Far earlier SSA established the continuous Work History Survey which utilizes a sample of the Social Security files and enters job changes into the file as they occur. Work histories have been available from this source since 1951.

A more ambitious effort to develop longitudinal data is one that is being developed in the criminal justice area. A cooperative system involving the Law Enforcement Assistance Administration (LEAA), the Federal Bureau of Investigation (FBI), and State governments is attempting to build longitudinal data bases which would permit the critical examination of the justice process in the various States. This program, called Offender Based Transaction Statistics (OBTS), would track offenders and suspected offenders through the criminal justice process. The file would also include a unique identifier so that subsequent events could be recoded and tracked, thus providing a lifetime longitudinal record.

A number of longitudinal survey efforts have also been started in education. The largest single effort has been the Longitudinal Study of the High School Class of 1972, conducted by the National Center for Education Statistics (NCES). Another activity is the Panel Study of Family Income Dynamics conducted for DHEW by the Institute for Social Research in Ann Arbor. Numerous other longitudinal surveys have also been initiated during the past several years.

Issues

By their very nature, the data bases from longitudinal surveys inexorably increase. This growth in the data base provides a rich analytical resource which permits joint consideration of disparate variables. The cost and proliferation of longitudinal surveys require that we take a fresh look at the many of the conflicting issues involved.

The problems can be classified into areas relating to privacy, analytical complexity, burden on respondents, cost, etc. The problems, of course, are of a different nature depending on whether the data are derived from sample surveys or administrative records.

Respondent Burden.—The problem of burden on respondents is receiving increased attention in the wake of the concerted effort by the Executive Office of the President to reduce the burden on the public of Federal information requests.

If administrative record sources are limited to the administrative needs for which the data were originally gathered, there should be no problem of excessive burden, but the inclusion of additional questions for statistical purposes can have a real impact on the burden by increasing it over the minimum which may be required for program administration. The 1976 revisions to OMB Circular No. A-40 in fact prohibit the addition of questions on application forms which do not directly impact on the granting of the benefit for which the applications is filed. Applications can often provide the basic record upon which a longitudinal record is based. Frequently survey information can be linked directly to these administrative records. There are clear advantages to this procedure in terms of overall burden since the administrative records can be sampled and the additional information collected only for the sample cases.

This linking procedure is no panacea. Carrying out such linkage projects presents substantial technical problems. Such linkages may also present legal problems. The Privacy Act of 1974 places severe limitations on this process. The designer of a longitudinal data base which proposes to use administrative records should examine the Privacy Act implications early in his design activities.

The burden problems for sample longitudinal surveys are somewhat different. While the bur-

den on the respondent in terms of total hours spent on an individual inquiry is not greater than an *ad hoc* survey, the repetitive nature of the survey significantly increases the burden on the individuals, families or households selected for inclusion in a longitudinal survey. Of course, the non-longitudinal panel survey in which the sample address is contacted repeatedly has similar problems. To the extent that such surveys are voluntary, the concern for burden should be reduced. Conversely, the concern for continued response should be intensified, since the accumulation of nonresponses can spell disaster to a longitudinal survey effort.

A common practice for obtaining longitudinal data is to use records from a survey which has already been conducted and to follow up at a later date to determine how the situation may have changed. This is generally a less effective method of carrying out a longitudinal survey since it may be difficult to make the subsequent contact with respondents if no mechanism had been developed initially to increase the likelihood of locating the respondent later. The total burden would, however, be less than if the original inquiry had to be repeated.

Informed Consent and Privacy.—The discussion of burden and ways of reducing burden by using existing sources of data inevitably leads to the questions of informed consent and the right of privacy. There has been a recent change in the attitudes of the public and the Government as to the right of a respondent to know the purposes to which data which he supplies will be put. As noted above, with both major cross-sectional surveys and longitudinal surveys there is a temptation to have follow-up surveys with data requirements which are different from the original request. This may violate the general principle of informed consent, depending upon what the respondent was told initially. If there is a possibility of a follow-up, it is important for the researcher to clearly inform the respondent at the initial interview that he may be recontacted for a broadly stated set of purposes.

Informed consent when the respondent is utilizing administrative records presents a more difficult issue. The Privacy Act imposes some limitations on the use of administrative records for statistical purposes, particularly when linking of administrative records to build longitudinal records is required. These limitations affect not only the development of longitudinal files

but may also impact on other kinds of administrative uses, audits, etc. Recommendations concerning the privacy issue will be found in the Framework chapter on Confidentiality of Statistical and Research Data.

Longitudinal surveys present very special problems with respect to the confidentiality of information. For example, the longitudinal use of administrative records inevitably leads to the development of *ad hoc* dossiers. The use of these augmented administrative records is a major concern, along with the specific problem of ensuring the privacy of the individual. This problem is perhaps most serious with the offender records discussed above.

Administrative record files frequently are developed from records which are in the public domain. But the mere fact of aggregating bits of public record information from various sources frequently changes the very nature of the data. Congressional recognition of this transposition is reflected in Section 524 of the Omnibus Crime Control Act (Public Law 93-83), as amended, which affords special privacy treatment to criminal histories containing aggregations of public records about individuals.

The problem of the sensitivity of data files is accompanied by the increase in the identifiability of individual records within longitudinal files. The collection of additional data over periods of time makes it increasingly possible to identify the respondent since detailed patterns of behavior become available. The unique longitudinal data concerning changing status and activities may sometimes act as a surrogate for a unique identifier. The probability of someone privy to the data being able to intentionally piece together facts to identify a selected individual is very low. The possibility of inadvertent disclosure, however, increases rapidly with each iteration of a longitudinal survey.

When all major data collection efforts are controlled by a single agency, the danger is diminished, assuming that adequate security procedures have been established within the agency. The demand for, and provision of comprehensive microdata files to other researchers again increases the danger of accidental disclosure many fold if adequate disclosure prevention steps have not been taken. The larger the number of researchers the greater the probability that some individual's identity will be divulged.

Longitudinal surveys, to be effective, must maintain a great deal of current identification data about the subject of the inquiry in the basic data file. The existence of such identifying information increases the risk of disclosure. The problem is frequently made more acute because the researcher asks for identifying information on parents, children, other relatives and friends. Although this information may be used only for tracking purposes, it presents an opportunity for identifying families and friends as well as the subject himself.

Design Considerations.—Possibly the most important design consideration which particularly affects longitudinal surveys is the maintenance of a high response rate over extended periods of time. This generally entails obtaining some information about respondent's family and friends since they may know the current address of the respondent if he moves (see preceding paragraph). Many designers of longitudinal surveys do not reserve adequate resources for locating the respondent and thus achieve inadequate response rates in subsequent interactions. There are methods of maintaining adequate response rates over the life of a survey but these methods are expensive and require significant effort. The response rate requirements in the President's 1976 guidelines for the reduction of paperwork pertain equally to longitudinal surveys and cross-sectional surveys. Thus, the 75% response rate is required for longitudinal surveys using the *initial* sample as the base with the numbers of responses to the most recent iteration as the numerator.

Should respondents to federally sponsored surveys receive some kind of remuneration? While this question has been raised frequently in terms of all survey activity, it becomes more acute with longitudinal surveys. The need to maintain a high response rate frequently prompts the survey manager to decide to provide a monetary or other incentives to increase response. We now are confronted with a philosophical problem: Should the Government have to pay citizens to provide information which will help in managing the Government? There is also the practical question about the efficacy of such incentives. Although the philosophical issue can be argued from either side, if the practice became widespread the cost of data collection to the Federal Government

could become prohibitive. If, however, it can be proved that payment significantly increases responses then perhaps the case for payment could be made. At present no persuasive evidence exists to show that federally sponsored surveys are improved by providing monetary incentives. In general, the practice should be discouraged. However, if research shows that the provision of cash incentives is effective, incentives may be permitted when sufficient justification is provided for specific projects.

Another problem which merits design consideration is the conditioning of the respondent. Conditioning may affect not only responses to questions but also actual behavior. Designers of longitudinal surveys must be prepared to assess the implications of this phenomenon and take appropriate steps. Such steps include re-interviewing the sample population in-depth to determine whether the responses to the original interviewer represented truth. It is also possible to examine external measures to determine congruence between the independent estimates and the survey estimates.

The Census Bureau, for example, has found that panel conditioning is a very real concern. The Current Population Survey produces very different estimates of labor force activity (and other measures) for households interviewed for the first time versus those interviewed more than once. (Published and unpublished reports on these phenomena are available from the Bureau of the Census.) The implications for longitudinal surveys are obvious.

Another problem with longitudinal surveys seems pedestrian until it is examined carefully. The computer has made possible the development of the extensive multivariate longitudinal survey. Without the computer it would not be possible to even consider the joint analysis of the multitude of variables which are available in a longitudinal record. The great detail which provides the analytical potential also guarantees a complex record. Unless the record and the accompanying file are adequately documented, it is nearly valueless. Documentation failures have been responsible for substantial time consuming and expensive failures. Even small errors in documentation can account for major discrepancies in the final data.

Frequently, an agency will add a sizeable battery of questions to an ongoing longitudinal

survey to provide answers to what appears to be an urgent problem of the moment. While this would seem to be a valid use of an existing resource, there are potentially serious costs. This increase in the burden may have an impact on future cooperation, perhaps destroying the base study itself. Further, it may have a negative impact on the processing of the longitudinal data. A general rule would be to minimize the amount of data requested during any iteration of a longitudinal survey.

Analysis.—Another generic problem relates to difficulties in developing approaches to analyzing the data which is finally amassed. The basic files of such have grown both in size and complexity. Some complaints have been voiced about existing studies, criticizing their failure to exploit the “rich data base.” The construction of complex longitudinal variables often introduces so many alternatives that even with very large samples serious reliability problems are introduced in the accuracy of individual cells. There is also the problem of the introduction of “noise” when variables are expanded to encompass all of the relevant longitudinal data. This “noise” is in the form of response error, coding, or data entry errors. Even if the longitudinal computer record is fairly simple, extensive staff time is needed to digest the documentation for the files and to develop working files which can be used for convenient analysis.

There is a tendency for researchers developing questionnaires to try to include all of the data which could possibly have relevance to given situation. This results in treating a longitudinal collection instrument as if it were a case study. This tendency may contribute to the excessive expansion of the survey instrument without a concomitant increase in the value of the data. The result is a burdensome survey with a complex file and all of the related problems of analysis.

During the next decade, serious work needs to be done to improve the techniques for analyzing longitudinal data.

Recommendations

1. Steps could be taken to modify the procurement process to permit the contractor

which begins a longitudinal project to complete it.

In the past, longitudinal surveys have been treated like all other surveys. An agency has perceived a need, developed an instrument, established a collection mechanism and an intuitive analytical plan. Most agencies would then initiate a competitive procurement to collect and process the required data. When competitive procurement is used, the survey will generally be put out for bids at least once but probably more often during the period of the study. The introduction of a new contractor in the course of a continuing process is disruptive at best. The discontinuity of contractors causes damage to the data as well as significant additional expense and delay to the sponsoring agency.

The proliferation of longitudinal survey activities, especially those utilizing general population samples, and the rich data base potential combined with the inherent high cost, has resulted in general suggestions for the establishment of a national omnibus longitudinal survey. The primary arguments offered in support of this proposal is the sharing of the high cost. The problems of burden, conditioning, panel decay, and others suggest that much more research needs to be accomplished before such an idea should be acted upon. Longitudinal surveys represent such a large public investment that the broadest usage should be encouraged consistent with the previously voiced concerns.

2. The Statistical Policy Division of OMB will require that a preliminary clearance be received by an agency prior to the beginning of detailed design work. The clearance request will specify the universe to be covered. The size of the sample, the nature of the basic inquiry and any other information then available. OMB will publish this information in the *Statistical Reporter* to make other agencies with similar interests aware of the proposed program. This would permit the more effective exploitation of these surveys early in the development process.

ECONOMIC AND SOCIAL STATISTICS IN THE COMING DECADE

An Overview

Introduction

This paper considers some of the broad issues confronting the continued development of economic and social statistics and some initiatives for dealing with these issues in the coming decade. The findings and recommendations of the several subject-matter papers in Part III of the Framework and of the crosscutting issue papers in Part IV are not summarized here. Instead, the subject of statistical development is approached as a problem of information processing in the broadest sense.

Statistics as an Information Process

Viewed from this perspective, the basic objective of the Federal Statistical System is to establish and maintain a process whereby a flow of pertinent and timely statistical information can be sustained.¹ This flow of information must provide objective and comprehensive data of acceptable precision relating to current conditions and emerging developments in each of the major areas of social concern—the economy, the polity, health, education, welfare, employment, income, expenditures, public safety, housing, and the like. To be pertinent, these data must satisfy a dual requirement: they must reflect as fully as possible the real world circumstances affecting the phenomena in question and they must also address the concerns and aspirations of policymakers and the public. Two points emerge from this perspective: (1) Any information process must be sufficiently flexible to respond effectively to changing needs and interests of the users of the information; and (2) It must be oriented toward developing a monitoring capability with respect to trends and changes occurring in the different areas of interest, rather than focusing exclusively on measures of status at particular points in time.

In her recent article on income distribution, Alice Rivlin lists four questions which policymakers (and the general public) might reasonably be expected to ask of economists:²

- (1) What is happening?
- (2) Why are things as they are?

(3) What could be better?

(4) What can we do about it?

These four questions, or close approximations, are fairly representative of the practical interests of both policymakers and the public and private groups and individuals who turn to statistics for assistance in making better judgments and arriving at sounder decisions. Thus, following Rivlin, one may reasonably expect such questions to arise with respect to every area of economic and social concern. From the users' point of view, the chief value of any statistical information system lies in the extent to which it can assist in developing reasonably reliable answers to these questions.

For any area of concern, an answer to the question "What is happening?" calls for descriptive data which depict both the current situation and underlying trends in its development in the amount of detail required to fit the specifications accompanying the question. It is evident that the bulk of the statistical data that are routinely collected, particularly in the form of administrative records, are intended primarily to answer this type of question.

To deal with the second question, "Why are things as they are?", it is necessary to devise and utilize analytic measures which can provide some clues as to the factors which account, at least in part, for the conditions and developments of interest. In the absence of such measures, it is of course possible to obtain some insight as to "what is going on" by examining and

¹ On this point and on the more general problem addressed in this paper, see Edgar S. Dunn, Jr., *Social Information Processing and Statistical Systems—Change and Reform* (New York: John Wiley & Sons, Inc., 1974), pp. 19f. For a broad philosophical perspective, see C. West Churchman, *The Design of Inquiring Systems: Basic Concepts of Systems and Organization* (New York: Basic Books, Inc., 1971).

² Alice M. Rivlin, "Income Distribution—Can Economists Help?" *American Economic Review*, Vol. LXV, Number 2, (May 1975). Also see Alice M. Rivlin, "Measuring Performance in Education," in Milton Moss (ed.), *The Measurement of Economic and Social Performance* (New York: National Bureau of Economic Research, 1973), pp. 411-437.

trying to interpret descriptive information, especially when that information is available in some detail for comparative purposes. If the "why" question is to be answered in quantitative terms, it becomes necessary to examine the interactions between the variable of interest and some selection of independent variables that are thought to influence it in some way. Descriptive statistics cannot meet this need unless they are provided in a form that permits this level of analysis.

The further question, "What would be better?" seems, at first glance, to entail considerations that are outside the purview of any statistical information process. Questions of this type call for normative answers, reflecting our notions of good and bad, better or worse. In formulating such answers, we are required to move beyond factual descriptions and analysis into the realm of social goals, values, and aspirations. If, in doing so, we seek practical guidance in decisionmaking, we cannot abandon what we know about our actual condition. On the contrary, it is only by examining our current situation that we can detect specific directions of change whereby that situation might be made "better." For example, given the goal of improving the health status of the population, information on the prevalence of certain disabling conditions among different population groups affords some basis for determining where further medical resources or preventive measures could be applied in order to bring the higher prevalence rates of some groups down toward the lower levels manifested among other groups. In short, observed differentials and trends in these differentials, when they relate to normatively significant conditions and processes, provide useful clues with respect to "What could be better."

Finally, a response to the question "What can we do about it?" obviously requires the exercise of both analytic skill and normative judgment. In dealing with this kind of question, the role of a statistical information process is twofold: (1) to describe the existing condition from which movement in any desired direction must begin, and (2) to delineate (ideally, in cost-benefit terms) possible alternative paths from current reality toward the goals that are stipulated.

In summary, the process of statistical information can be relevant to every phase of deliberation concerning a particular area of concern,

beginning with descriptions of current conditions and their past evolution and ending with evidence relating to the costs, benefits, or trade-offs associated with alternative courses of remedial action. It must be stressed, however, that only the first two of Rivlin's four questions can be dealt with exclusively in terms of the conventional activities of statistical data collection and analysis. The latter two questions arise at the juncture between statistical information processes and political decisionmaking. Hence their treatment demands an information system which is also capable of illuminating the gaps between our current conditions and our social goals and aspirations.

Constraints and Priorities

The current status of the Federal Statistical System may be seen as an outgrowth of a 30-year period of development which was initially stimulated to a great extent by the passage of the Employment Act of 1946 and the accompanying establishment of the Council of Economic Advisers. By requiring annual reports from the President to the Congress and the general public on the state of the economy, this Act spurred the development of agreed-upon economic indicators which could reflect current trends in the performance of the Nation's economy and signal emerging imbalances or problems before they assumed crisis proportions.³

The accumulation of experience in both the development and use of these economic indicators has given rise to substantial improvements in the underlying data base and to growing sophistication among technicians and policymakers alike with respect to the significance of different sets of economic data. Unfortunately, our system of social (i.e., noneconomic) information has not enjoyed a parallel course of development. It is true that the "great society" programs initiated in the early 1960's were accompanied by considerable demand for new and different kinds of information—information that would enable program directors to gauge the impact of their executive directives as well as information that

³ Philip M. Hauser, *Social Statistics in Use* (New York: Russell Sage Foundation, 1975), pp. 349ff. For a detailed account of the historical development of U.S. Government statistics, see Joseph W. Duncan and William C. Shelton, *Revolution in U.S. Government Statistics, 1926-76* (publication forthcoming).

would identify areas of critical need. In addition, the crises and disturbances of the late 1960's offered pointed reminders to many policymakers that they could no longer rely exclusively on economic indicators in assessing the condition of the society or in formulating socioeconomic policies.⁴

Further impetus toward the improvement of both social and economic information processes stems from the still more recent proliferation of complex problems such as urban decay, crime and delinquency, intergroup conflicts and the equally complex "environmental" problems of pollution and growing concern with limited natural resources. It has become increasingly evident that none of these problem areas can be understood or dealt with adequately as purely "economic" or purely "technological" or purely "social" in nature. It follows, therefore, that the statistical information process that is called for in coping with these areas of concern must itself be broadly interdisciplinary.

In his penetrating study of the existing forms of social information (wherein the term "social" relates to economic data as well), Edgar S. Dunn, Jr. identifies six major types of inadequacies among these bodies of data:⁵ (1) "There is a relative paucity of data adequate to represent external operating environments, as compared with the amount of (administrative) data relating to internal operations." In other words, agencies and organizations, both public and private, tend to develop more complete bodies of information and more efficient flows of information with respect to their internal organization and administration than the environment in which they must operate. (2) "Data relating to developmental functions (i.e., learning or adaptive processes) are deficient relative to data reflecting performance." Thus we know more about what an agency does than about what kinds and sources of information it relies upon both in deciding what to do and in gauging the effectiveness of what it has done. (3) "Sources of nonrecurrent data are deficient relative to sources of recurrent data." Periodic observations of selected phenomena are of course essential in order to analyze trends and changes over time, but such measures will often fail to provide advance warnings of emerging difficulties. Many of the "shocks" which account for major turning points in our standard time series of observations are themselves the culmination

of a substantial history of development, but that history has remained statistically invisible because the underlying processes have taken place outside our framework of measurement. (4) "There is a paucity of data elements that can be employed in constructing a variety of statistical entities, relative to aggregate data provided in fixed format." Despite the great strides that have been made in recent years, the provision of "micro" data elements that could be combined to satisfy a variety of research needs has not kept pace with the technological advances which facilitate the multipurpose use of such data elements. (5) "Longitudinal data are deficient relative to cross-sectional data relating to a single point in time." The widespread use of cross-sectional or "period" observations in constructing synthetic cohorts gives rise to serious methodological problems. Data so employed are a poor substitute, at best, for longitudinal series of observations tracing the same units of observation through time. (6) "Data relating to activities and processes are deficient relative to data that symbolize state descriptions of entities." We can determine, with reasonable accuracy, how many persons are living in "poverty" (according to an agreed-upon definition of personal or family income), but we know much less concerning the dynamics of the income stream whereby people fall into and move out of, or remain in that status. We also know a good deal about school enrollment and years of school completed, but much less about what people have learned in school.⁶

Dunn is fully aware that no simple strategy can be expected to alleviate all of these imbalances with equal effectiveness. He would probably agree, however, that the success of any effort to improve our social information processes

⁴ This realization was an important motivation for the establishment of the social indicators development program within the Organization for Economic Cooperation and Development. See David E. Christian, "Social Indicators: the OECD Experience," (Paris: OECD, June 1974). For an account of progress achieved thus far in this effort, see OECD, *Measuring Social Well-Being—A Progress Report on the Development of Social Indicators* (Paris: OECD, 1976).

⁵ Edgar S. Dunn, Jr., *op. cit.*, p. 158f. Still pertinent in this regard is Oskar Morgenstern, *On the Accuracy of Economic Observations* (Princeton, N.J.: Princeton University Press, second edition, 1963).

⁶ Mancur Olson, Jr., "Social Indicators and Social Accounts," *Socioeconomic Planning Sciences*, Vol. 2, 1969, pp. 337f.

must be gauged largely in terms of its ability to strengthen the weaker links without damaging the stronger ones.

If the above listing of informational deficiencies is suggestive of the priorities to be recognized in improving our informational processes in the course of the next decade, Joseph W. Duncan's review of the continuing pressures being exerted upon central statistical offices is equally suggestive with respect to the practical demands to which these offices must be responsive. Duncan identifies five major sources of demand for statistical information:⁷

- (1) "Every statistical series has users who exert pressure for continuation of ongoing efforts." Most data users are more comfortable with the tried, the true, and the familiar data series, even though such data may have lost much of their original significance and relevance due to underlying changes in the nature of the pertinent phenomena.
- (2) "Legislation is typically designed to focus on specific (but inconsistent) target groups." The need to monitor and evaluate programs mandated by particular legislative enactments often gives rise to a demand for highly particularized statistical information of limited value for other purposes.
- (3) "As policymakers and program managers demand more precise data, the impact on the providers of data multiplies in complexity and magnitude." The cumulative impact of a growing number of specialized data requirements on the statistical information system as a whole is to generate rapidly mounting costs and a growing burden upon respondents. Respondent resentment and resistance can, in turn, seriously affect the quality of the data collected.
- (4) "Both crisis management and new policies yield pressures for quick response by the statistical agencies, reducing opportunities for adequate coordination." Unanticipated problems, crises, and new programs are usually accompanied by urgent demands for additional information. This pressure gives rise either to make-shift adaption of available data (which seldom satisfies the demand) or to hasty data collection efforts

which are both costly and poorly coordinated with ongoing data collection procedures.

- (5) "With growing sophistication of social service delivery, there is increasing demand for greater geographic and demographic detail for established data series." Local area data needs, together with those of a growing number of special interest groups, exert growing pressures for the expansion of major national sample surveys so that they may provide corresponding information for subnational areas and localities and for special population groups.

The net effect of these pressures is to generate a constant demand for more information, for more current information, and for more localized and detailed information. Against these seemingly insatiable demands, however, are ranked a number of factors which together exercise a powerful constraining influence. First, there is the matter of cost. The current annual cost of five major sample surveys (the Current Population Survey, the National Crime Survey, the Health Interview Survey, the Annual Housing Survey, and the Survey of Income and Education) comes to about \$43 million.⁸ Second, there is the issue of privacy and confidentiality. Despite the existence of legal safeguards and technical procedures that can effectively protect the confidentiality of the information collected from individuals and households as well as business establishments, there remains a persistent fear that this vast complex of information might someday be used as an instrument of social control. Third, there is the growing awareness of the burdens imposed on respondents by information demands that have a selective impact on certain groups. These burdens are both psychological—the "big brother is watching" syndrome—and economic—form filling takes time and resources

⁷ Joseph W. Duncan, "Priority Setting in the Coming Decade—Survey Linkage and Integration," a paper prepared for the Economic Commission of Europe Seminar on Statistics in the Coming Decade, Washington, D.C., March 21–25, 1977. Reprinted in *Statistical Reporter*, Number 77–7 (April 1977) pp. 221–228.

⁸ For 1978 budget estimates relating to the principal Federal statistical programs, see Office of Management and Budget, *Special Analyses, Budget of the United States Government, 1978* (January 1977), Special Analysis G.

which could otherwise be spent. Finally, there is the problem which is inaccurately referred to as "information overload" but which Dunn more properly terms "sensory overload." Massive flows of partially overlapping, partially contradictory data, beset by innumerable caveats and qualifications, and capable of diverse and conflicting interpretations, can be as effective as sheer ignorance in preventing rational decisionmaking.

It is this challenging mix of needed improvements in our data base, insistent demands for current information, and powerful social and economic constraints that must be dealt with during the coming decade.

Economic Statistics

The National Income and Product Accounts system (NIPA) which has been developed over the past 45 years constitutes the centerpiece of economic information within the Federal Statistical System.⁹ The extensive range of applications of these data and their potential for even wider use in the future has given rise to numerous demands for improvements in the system. In particular, the recommendations of the Advisory Committee on GNP Data Improvement are designed to ensure needed improvements in the quality and timeliness of the data employed in constructing and revising the NIPA estimates. In addition, continuing research at the Bureau of Economic Analysis is devoted to the development of synthetic microdata sets which could be linked to the NIPA so as to provide a far richer data base than is presently available for analyzing relationships between individual economic units (households or firms) and aggregate trends in the national economy.¹⁰

It is evident that considerable research and experimentation is called for in implementing these and other suggested improvements; however, the benefits which may be anticipated are considerable. To cite but one example, the Emergency Jobs Programs Extension Act of 1976 (and its subsequent revisions) calls for the collection and analysis of massive bodies of data relating to all aspects of employment, unemployment, and the pertinent characteristics of population groups subject to high risks of unemployment, such as youth, women, minorities and the educationally disadvantaged. The possibility of linking such data (at appro-

priate levels of aggregation) with the NIPA system should greatly enhance our ability to evaluate the effectiveness of particular employment and training programs, better identify the target groups for such programs, and develop improved estimates of the economic consequences of such efforts.

If linkages of the type illustrated above could be made, two requirements would have to be met: First, key concepts, definitions, classifications and principles of disaggregation must be standardized. Second, the critical components of the data system must be represented by synchronous data elements. The achievement of these objectives over the next decade requires a major research and development effort spanning both economic and social statistics.

Three additional areas requiring more systematic treatment within the general framework of the NIPA system may be mentioned: data on environmental quality, data relating to international trade and the activities of multinational corporations, and energy data. Each of these subject-areas calls for the collection of information and its analysis within a framework congruent with the NIPA system. For example, it can be anticipated that priority attention will be given to the need for estimates of the energy resource requirements and related efficiency of energy utilization associated with the production and distribution of goods and services throughout the economy. What is called for, ultimately, is a system of "national energy production and utilization accounts" in which the accounting units are energy quanta rather than relative prices.

⁹ For a summary of the development of the NIPA system and recommendations for its improvement, see "The Relationship of the National Accounts and the U.S. Statistical System" in Statistical Policy Division, Office of Management and Budget, *A Framework for Planning U.S. Federal Statistics, 1978-1989*, Section III.

¹⁰ On the development of such an analytic capability, see Richard and Nancy Ruggles, "The Role of Microdata in the National Economic and Social Accounts," a paper presented at the Second Latin American Conference of the International Association for Research in Income and Wealth, Rio de Janeiro, Brazil, January 9-12, 1974. Also see Nancy Ruggles and Richard Ruggles, "A Proposal for a System of Economic and Social Accounts," in Milton Moss (ed.), *op. cit.*, pp. 111-146, and the commentaries by Douglas G. Hartle, Abraham Aidenoff, and Edward F. Denison, pp. 146-160.

In summary, it may be anticipated that future extensions or modifications of the NIPA system will be required in order to better accommodate information relating to four major groups of "externalities"—labor force supply and demand, international trade, environmental quality, and energy resource utilization.

Social Statistics

The conceptual integration and resultant systematization of economic statistics, as exemplified by the national income and product accounts, has not been accompanied by similar development in the area of social statistics. Three reasons may be cited for this disparity. First, it is commonly pointed out that the development of a framework reflecting the network of interrelations among social phenomena is extremely difficult in the absence of a comprehensive social theory. The available social theories relate to narrowly specified segments of social reality and generally apply under highly restrictive assumptions; however, an accounting system should not be confused with a theoretical construct which seeks to provide casual understanding of the phenomena of interest. The development of a workable economic accounting system has been achieved as a task in empirical estimation and has not depended upon the prior existence of a comprehensive economic theory.¹¹

Second and more telling is the observation that most social data are routinely collected in response to narrowly specified program purposes. The utilization of such data for the analysis of complex social issues is commonly viewed as a welcome by-product, but not as the principal objective of data collection efforts. One result of this orientation has been the accumulation of an enormous volume of social statistics whose utility for purposes of comparative analysis is severely limited.

Third, the task of conceptual integration in the area of social statistics is far more complex than in the economic area, given the great diversity of phenomena which fall under this rubric. A basic problem which reflects this diversity is the absence of a common metric corresponding to the "relative price" concept employed in the economic realm.¹²

If the above difficulties impose limits to the degree of integration which can be achieved in

the social area, it is also true that major progress can be made before these limits are reached. Two lines of development offer some promise in this direction. First, the continuing developmental work of the United Nations Statistical Office in constructing a general conceptual framework for the integration of a wide range of social and demographic information with economic data provides suggestive guidelines which can be adapted to suit the needs and capabilities of individual countries. This work has been buttressed by a parallel UN effort toward the establishment of common concepts and classifications which can be employed in national censuses and major sample surveys throughout the world.¹³

Second, the authorization of a mid-decade census in the United States by the 94th Congress offers a unique opportunity to implement a more integrated data collection system in this country. With the mid-decade census beginning in 1985, information on the socioeconomic and demographic characteristics of a variety of population groups will be collected for small geographic units at quinquennial intervals. That information can be used both to identify problem groups or areas and to allocate Federal

¹¹ Mancur Olson, Jr., *op. cit.*, pp. 336f.

¹² For further discussion of this and related problems, see "Social Indicators and Social Accounts," *Statistical Reporter*, Number 77-8 (May 1977). On the pitfalls of excessive zeal in quantifying social phenomena, see Amitai Etzioni and Edward W. Lehman, "Some Dangers in 'Valid' Social Measurement," in Bertram M. Gross (ed.), *Social Intelligence for America's Future* (Boston: Allyn and Bacon, 1969), pp. 45-62 and Bertram M. Gross, "The State of the Nation: Social Systems Accounting," in Raymond A. Bauer (ed.), *Social Indicators* (Cambridge, Mass.: The M.I.T. Press, 1966), pp. 154-271, reprinted by the Tavistock Press, 1966. Not all the problems confronting the development of an integrated data system are technical. For considerations of political and ideological obstacles, see Brian J.L. Berry, "Social Accounting Systems: Problems in Conceptualization and Realization," a paper prepared for Working Group B: "Social Change and Social Measurement" at the annual meeting of the Division of Behavioral Sciences, National Academy of Sciences—National Research Council, May 19-20, 1972. Also pertinent are Peter J. Henriot, "Political Aspects of Social Indicators: Implications for Research" (New York: Russell Sage Foundation, 1972) and Isabel V. Sawhill, "Social Indicators, Social Accounting, and the Future of Society," in Albert Somit (ed.), *Political Science and the Study of the Future* (Hinsdale, Ill.: The Dryden Press, 1974), pp. 114-127.

¹³ United Nations Statistical Office, *Towards a System of Social and Demographic Statistics*, ST/ESA/STAT/SER.F/18 (New York: United Nations, 1975).

funds throughout the country in accordance with a number of formula grant programs. The inauguration of a mid-decade census in 1985 permits the updating of these base-line data at 5-year intervals in the future.

The effort toward improved integration of social statistics must begin with the establishment of a common core of concepts, definitions, principles of classification and coverage specifications which would then be employed in the design of all major national sample surveys. These specifications could then be introduced into the 1985 census enumeration so as to yield local area information corresponding to the information collected in each of the special-purpose sample surveys. In effect, this procedure would create a set of "nested" surveys in which a common core of information would be collected for all populations sampled, supplemented by detailed information unique to each sample survey. The information collected in this manner could then be linked by means of a master data file which would permit statistical matching of particular population groups for analytic purposes.¹⁴

This integrative effort cannot be expected to resolve all of the difficulties associated with the

diversity of phenomena to be measured and the different purposes for which particular surveys are designed. No set of common concepts and classifications can hope to anticipate or respond to all of the data needs stemming from future legislative enactments or from new theories, insights, and approaches. The integration that is envisioned can be expected to yield a basic set of comparable data which would provide current data to meet a wide range of analytic requirements in a cost-efficient manner. This would, in turn, free additional resources for the special-purpose research efforts that may be required in response to unanticipated needs.

Conclusion

The effort to achieve greater integration in the area of social and economic statistics is primarily motivated by the need to respond to

¹⁴For a more detailed treatment, see Joseph W. Duncan, "Developing A Framework for Planning U.S. Federal Statistics, 1978-1989," *The American Statistician*, forthcoming issue, and "Standards for Statistical Methodology," *Statistical Reporter*, Number 77-9 (June 1977).

EDITOR'S NOTE

In previous issues of *Statistical Reporter* there have been several discussions of the planning process associated with preparing *A Framework for Planning U.S. Federal Statistics, 1978-1989*. The text of the Framework is in the process of being prepared and reviewed by the Federal statistical agencies. A revised draft will be the subject of public review and comment during 1977. Since this material is presented here in preliminary form, it should not be viewed as representing decisions concerning policy matters.

Selected drafts of various sections of the Framework, will appear in *Statistical Reporter* during the coming months. While preliminary in nature, these drafts will be published in order to facilitate wide review of the materials. The following chapters are published in this issue: Organization and Operations of U.S. Federal Statistical Agencies, Housing and Community Development Statistics, Longitudinal Surveys, and Economic and Social Statistics in the Coming Decade. The following chapters have appeared in previous issues: Health Statistics, Population Statistics, and Standards for Statistical Methodology (June 1977); Energy Statistics; Education Statistics; Income, Wealth, and Consumption; and Social Indicators and Social Ac-

counts (May 1977); Labor Statistics, Production and Distribution Statistics, Statistics on the Environment and on Occupational Health and Safety, Civil Rights Data, Professional Staffing and Professional Staff Training, and Interagency Funding (April 1977); Price Statistics (March 1977); Criminal Justice Statistics (February 1977); Confidentiality of Statistical and Research Data (January 1977); User Access—Data Banks (December 1976); Federal-State Cooperative Systems of Data Collection (November 1976); Long-Term Economic Growth Models (October 1976); Section I—The Nature of the Plan (September 1976). For a full outline of the overall Framework, see pages 207-209 of *Statistical Reporter* for May 1976.

For background statements on the planning process, see Joseph W. Duncan, "Developing Better Long-Range Plans for Federal Statistics," *Statistical Reporter*, October 1974; Robert W. Raynsford, "The Interagency Statistical Planning Effort, 1975," *Statistical Reporter*, September, 1975; and Paul O'Neil, "OMB's Role in Planning and Coordination of Federal Statistics," *Statistical Reporter*, May 1976.

Comments on these materials should be sent to the Statistical Policy Division, Office of Management and Budget, 726 Jackson Place, N.W. Washington, D.C. 20503.

our changing perceptions of the problems we confront. None of our major problems are purely social, economic, political, or technological. Their resolution demands more systematic consideration of factors that cut across these traditional boundaries. Hence the need for a statistical information capability that can provide data reflecting these interrelated aspects in comparative perspective. As Dunn and others have pointed out, the collection of still more data is not the answer. What is called for is a transformation of our procedures of data collection and storage so as to permit a richer and more flexible selection of variables for purposes of analysis and comparison.¹⁵

For both the policymaker and the general public, the utility of statistical information rests ultimately upon its ability to provide a sounder basis for the decisions that impel movement toward the achievement of our social goals and aspirations. This requires, first, that the data

user should be alerted or sensitized to emerging problems that require attention before they assume crisis proportions. When this awareness gives rise to consideration of policy initiatives, further and more analytic information is needed in order to suggest the alternative courses of action which merit consideration. At a later stage, when policies are formulated and expressed in programmatic form, feedback information is required with which the programs can be monitored and their effectiveness evaluated.¹⁶ A statistical information system must seek to respond to each of the above requirements if it is to be effective. *A Framework for Planning U.S. Federal Statistics, 1978-1989* is a first step toward developing that capability.

¹⁵ Edgar S. Dunn, Jr., *op. cit.*, pp. 189f and Appendix, pp. 229 *et seq.*

¹⁶ Compare Martin Rein, *Social Science and Public Policy* (Harmondsworth, Middlesex, England: Penguin Books Ltd., 1976), p. 31.

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CURRENT DEVELOPMENTS

PRICES REDUCED FOR BLS PUBLICATIONS

The Bureau of Labor Statistics recently announced a reduction in the subscription prices for the *Monthly Labor Review* and *Employment and Earnings*. *Monthly Labor Review* will cost \$16.00 per year, \$4.00 less than the current price. *Employment and Earnings* will be priced at \$18.00 per year, \$6.00 less than the current price.

The lower prices are the result of revisions in the pricing formula used by the U.S. Government Printing Office. The new formula is designed to relate prices more closely to costs.

Earlier price reductions for both the *Monthly Labor Review* and *Employment and Earnings* followed changes in postal classifications initiated by the Bureau of Labor Statistics.

The reduced subscription rates apply to new and renewal subscriptions beginning June 1. For subscriptions mailed outside of the United States, 25% should be added to domestic subscription rates.

The *Monthly Labor Review* may be ordered from *Monthly Labor Review*, Box 353, La Plata, Maryland 20646. *Employment and Earnings* may be ordered from Superintendent of Documents, U.S. Government Printing Office, Washington,

D.C. 20402. In each case, checks should be made payable to the Superintendent of Documents. (M. E. AYRES, BUREAU OF LABOR STATISTICS, DEPARTMENT OF LABOR, telephone (202) 523-1205.)

FIVE NEW SMSA's ANNOUNCED

On June 14, 1977, Bert Lance, Director of the Office of Management and Budget, designated five new Standard Metropolitan Statistical Areas, bringing the number of SMSA's to 281.

The standard metropolitan statistical area is a statistical standard used in the development and presentation by Federal agencies of statistical information on metropolitan areas. A standard metropolitan statistical area is designated and defined according to a body of objective, published criteria.

The following is a list of the newly designated SMSA's giving their code, title, and definition:

Code	Title	Definition
1140	Bradenton, Florida	Manatee County
2985	Grand Forks, North Dakota—Minnesota	Grand Forks County, North Dakota Polk County, Minnesota
3850	Kokomo, Indiana	Howard County Tipton County
4150	Lawrence, Kansas	Douglas County
6015	Panama City, Florida	Bay County

(SUZANN K. EVINGER, STATISTICAL POLICY DIVISION, OFFICE OF MANAGEMENT AND BUDGET, telephone (202) 395-3214).

FAVORABLE EFFECT OF REHABILITATION SERVICES TESTED

The Social Security Administration has recently published *The Effects of Vocational Rehabilitation on the Earnings of Disabled Persons*. The paper addresses the question: Do the greater earnings of successfully rehabilitated clients after closure of their cases reflect the effect of agency rehabilitation services and experiences, or are they instead the result of agency selection and self-selection factors? The study focuses on the 1972 earnings of persons whose cases were closed by State rehabilitation agencies in fiscal year 1971.

The author identifies 12 factors associated with both rehabilitation status at closure and 1972 employment and earnings. The factors are statistically controlled to determine whether earnings differences between rehabilitants and others disappear. The author's findings suggest that since the more favorable earnings record of rehabilitants is not due to these characteristics, then it must express the effects of the rehabilitation program.

Single copies of *The Effects of Vocational Rehabilitation on the Earnings of Disabled Persons* (Staff paper No. 27, HEW Publication No. (SSA) 77-11852) are available for official use from the Publications Staff, Office of Research and Statistics, Social Security Administration, Room 1120 Universal North Building, 1875 Connecticut Avenue, N.W., Washington, D.C. 20009, telephone (202) 673-5209. The report may be purchased for \$1.10 from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402, stock number 017-070-00298-6. (ROBERT E. ROBINSON, SOCIAL SECURITY ADMINISTRATION, DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE, telephone (202) 673-5576.)

STUDY ON INCOME OF THE OLDER POPULATION

The Social Security Administration has released a staff paper that examines the sources of income of the aged population and the relative importance of each to total income. The report is entitled *Income of the Population Aged 60*

and *Older, 1971*. It also presents data on the changes in proportions of aged units receiving particular sources from 1962-67 and 1967-71.

The income sources explored in the paper are earnings, retirement benefits (social security, government employee pensions, private pensions and annuities), veterans' benefits, unemployment insurance, public assistance, assets, and personal contributions. The author shows that in 1971 earnings were the most prevalent income source for aged units 60-64; and although social security was the major source for those 65 and over, almost one-third of this age group had earnings. Using regression analysis, the author also develops a model of income size associated with receipt of various combinations of sources.

Single copies of *Income of the Population Aged 60 and Older, 1971* (Staff Paper No. 26, HEW Publication No. (SSA) 77-11851) are available for official use from the Publications Staff, Office of Research and Statistics, Social Security Administration, Room 1120 Universal North Building, 1875 Connecticut Avenue, N.W., Washington, D.C. 20009, telephone (202) 673-5209. The report may be purchased from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402 for \$2.00, stock number 017-070-00295-1. (ROBERT E. ROBINSON, SOCIAL SECURITY ADMINISTRATION, DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE, telephone (202) 673-5576.)

NEW EDITIONS OF NCES DIGEST AND PROJECTIONS

The National Center for Education Statistics has recently issued new editions of the *Digest of Education Statistics* and *Projections of Education Statistics*. The two reports may be regarded as companion volumes: the *Digest* is concerned with the past and the present, while the *Projections*, as its name suggests, deals primarily with the future of education in the United States.

The new *Digest of Education Statistics* is the 15th in a series of annual publications initiated by this office in 1962. It provides an abstract of statistical information covering the broad field of American education from kindergarten through the graduate school. While emphasizing the survey data and estimates of the National Center for Education Statistics, it utilizes

materials from numerous sources, both governmental and nongovernmental. The publication contains information on a wide variety of subjects, including the number of schools and colleges, enrollments, teachers, graduates, educational attainment, finances, Federal funds for education, libraries, international education, and research and development.

Projections of Education Statistics to 1985-86 is the 13th in a series of reports that have been issued annually since 1964. It contains projections of enrollments, instructional staff, and expenditures in elementary and secondary schools and institutions of higher education; high school graduates; bachelor's, master's, doctor's, and professional degrees; and student charges by institutions of higher education. The data take into account recent trends in enrollment and retention rates, class size, and per-pupil expenditures, as well as probable changes in the school-age and college-age population. The projections, which are for the Nation as a whole, are presented on an annual basis through school year 1985-86.

Copies of the *Digest* are available from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402, for \$3.75 each, stock number 017-080-01718-1. The *Projections* may be obtained from the same source for \$3.00 a copy, stock number 017-080-01706-7. (W. VANCE GRANT, NATIONAL CENTER FOR EDUCATION STATISTICS, DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE, telephone (202) 245-8511.)

RECENT LEAA REPORTS

The following are descriptions of recent publications of the Statistics Division, National Criminal Justice Information and Statistics Service, Law Enforcement Assistance Administration.

Sourcebook of Criminal Justice Statistics, 1976 (864 pp.) presents a broad spectrum of criminal justice data (647 tables and 15 figures) in an easy-to-use, comprehensive reference document. Statistics from 96 sources are compiled in six groupings: characteristics of the criminal justice system, public attitudes toward crime and criminal justice-related topics, nature and distribution of persons arrested, judicial processing of defendants, and persons under correctional supervision. The table and figure list cross-references 1976 edition tables and figures

with their 1975 edition counterparts, and a subject index is furnished. The appendices present definitions and methodology for easier comparison between sources. An annotated bibliography of sources is included. Copies are available for \$11.00 postpaid from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402, GPO Stock No. 027-000-00431-8.

Local Victim Surveys: A Review of the Issues (62 pp.) is a report written as a response to local criminal justice planners and evaluators who saw the usefulness of victim surveys but who felt that the National Crime Survey (NCS) program conducted by the Bureau of the Census for the Law Enforcement Assistance Administration was not meeting local needs completely. Many of these local agency personnel have expressed an interest in conducting victim surveys in their own communities, and some have already conducted such surveys. The main purpose of this report is to familiarize local planners and evaluators who are interested in conducting their own survey with some of the issues that accompany such an endeavor. The following issues are among those discussed in the report:

- sampling: the relative utility of various sampling frames and the vital question of sample size;
- data collection techniques: the advantages and disadvantages of in-person interviews, telephone interviews, and mail questionnaires;
- costs: how the choices of goals and techniques influence survey costs;
- efficiency: attempting to optimize the cost/utility balance of local victim surveys; and
- ethics: anonymity, confidentiality, and misleading the respondents.

Two appendices and an annotated bibliography are also included.

Trends in Expenditure and Employment Data for the Criminal Justice System, 1971-1975 (145 pp.) is a report designed as a ready reference for summary data on public expenditure and employment for criminal justice activities in the United States over the 5-year period 1971-1975. It covers six activities of the criminal justice system: police protection, corrections, and a residual category entitled "other criminal justice."

Survey data revealed that, proportionately, at all levels of government, the fastest growing criminal justice sectors from fiscal year 1971 to fiscal year 1975 were "other criminal justice" and public defense. The dollar amounts expended by both of these sectors in fiscal year 1975 were small in comparison to other sectors and constituted less than 5% of total criminal justice expenditures in each year. The dominant sectors, those areas in which government expended the greatest number of dollars and required the greatest number of employees, were police protection first and corrections second.

Federal, State, and local government trends are discussed in the introduction with accompanying tables and charts, followed by a brief description of survey methodology and data sources and limitations. Following the introductory text are the 29 main tables, which include a 5-year summary of "variable pass-through" data with an accompanying explanation of this unique concept and tables presenting Federal, State, and local governments criminal justice expenditures and employment data with corresponding percentage changes for the 5-year period.

A table-finding guide cross-references all subjects in the report pertaining to criminal justice activities by all governments combined and each level of Government—Federal, State and local. Local governments are further broken down into counties and municipalities. The appendices present a glossary of terms, concepts, and categories used in this report and an exhibit of the mail questionnaires used.

National Survey of Court Organization: 1977 Supplement to State Judicial Systems (36 pp.) supplements but does not supersede *National Survey of Court Organization*, published in February 1974, and *National Survey of Court Organization: 1975 Supplement to State Judicial Systems*. This report updates the descriptions of the court systems in the five States that have had a major court reorganization between February 1, 1975 (the reference date of the 1975 supplement) and January 31, 1977: Alabama, Indiana, Iowa, Kansas, and Kentucky. Ohio, which was inadvertently omitted from the 1975 supplement, is also included in this report. The effect of these changes on the names and number of court systems and courts is summarized in three tables, and the changes are described in detail for each State. The name, address, and telephone

number of the court administrator in each of the 50 States and the District of Columbia are listed in an appendix.

Except as noted, single copies of these reports are available from the National Criminal Justice Reference Service, P.O. Box 24036, S.W. Station, Washington, D.C. 20024. (BENJAMIN H. RENSHAW, LAW ENFORCEMENT ASSISTANCE ADMINISTRATION, U.S. DEPARTMENT OF JUSTICE, telephone (202) 376-3897.)

CORPORATION INCOME TAX RETURNS

The Internal Revenue Service has recently released the report, *Statistics of Income—1972, Corporation Income Tax Returns*, for accounting periods ending July 1972 through June 1973. The report includes statistical estimates of corporate receipts, deductions, assets, liabilities, income tax liability, tax credits, and distributions to stockholders.

Also included in the report are categories of tax returns. These include returns with net income, consolidated returns, returns of members of controlled groups, returns of small business corporations electing to be taxed through their stockholders, and returns of domestic international sales corporations (DISC's).

Copies of the 248-page report may be purchased for \$4.00 from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. (JOEL R. STUBBS, STATISTICS DIVISION, INTERNAL REVENUE SERVICE, telephone (202) 376-0102.)

NATIONAL STATISTICAL SERVICES

The Statistical Office of the United Nations recently announced the availability of *The Organization of National Statistical Services: A Review of Major Issues* (English, French, Russian and Spanish versions in preparation).

This report deals with the various challenges that top management of a national statistical agency must face in developing its services. It was discussed by the United Nations Statistical Commission (document E/CN.3/495) at its nineteenth session, held at New Delhi, India, from November 8-19, 1976. The Commission commended the report "to national authorities as a basis for reviewing problems of statistical organization in their countries" and requested that it be published and widely distributed "not only to statistical authorities but also to those

country authorities responsible for the basic decisions affecting the future of statistical programmes.”

The report contains chapters on internal organizational structures of a statistical agency; degree of centralization of a national statistical service; external capability; internal capability; planning, priorities and programme coordination. The annex is a 2-page summary of the report.

Copies of *The Organization of National Statistical Services* (Studies in Methods, Series F, No. 21; 23 pp.; UN Sales No. E. 77. XVII. 5; \$2.00) may be purchased from the Sales Section, United Nations, New York, New York 10017. Government agencies should request the discount to which they are entitled as it is not automatically given. In ordering, please use the sales number and price shown above.

NEW REPORTING PLANS AND FORMS

The following gives a brief description of a new reporting plan and form approved between May 2 and May 31, 1977 by the Office of Management and Budget under the provisions of the Federal Reports Act. The description refers to surveys and data collection programs which are just being started or are soon to be started so results are not yet available.

Department of Commerce

Bureau of the Census

1977 Commodity Transportation Survey (singletime).—This survey will be conducted as part of the 1977 Census of Transportation. It is a sample survey designed to measure the transportation and geographic distribution of commodities shipped by selected industries in the United States. Coverage and scope of information to be collected has been expanded to

achieve comparability with similar data sets collected by the Census Bureau and other statistical agencies. Data collected will include *all* shipments (local as well as non-local) made by selected industries; all modes of transport including a distinction between ICC regulated and non-regulated motor carriers; value of each shipment and a precise breakdown on “mixed shipments”, i.e., a description of each commodity contained in a multi-commodity shipment.

The sample for this study includes approximately 23,000 establishments in the manufacturing and mineral industries. Data will be collected by mail beginning in January 1978. Publication is planned to begin in the second quarter of 1979 and will include reports by geographic area, commodity, and industry. (For further information: ROBERT TORENE, BUREAU OF THE CENSUS, DEPARTMENT OF COMMERCE, telephone (301) 763-5430.)

OTHER REPORTING PLANS AND FORMS

Shown below, by agency, is a list of new reports approved between May 2 and May 31, 1977 excluding the one described above. Requests for copies of these reports should be addressed to the public reports clearance officer of the sponsoring agency. A list of agency clearance officers may be obtained by writing to

Marsha Traynham, Statistical Policy Division, Office of Management and Budget, Washington, D.C. 20503.

During May approximately 60 forms reached their expiration dates and are no longer approved for use.

DEPARTMENT OF AGRICULTURE

Feed Grain, Rice Wheat, Upland Cotton Program, Agricultural Stabilization and Conservation Service
Recreation Information Management

DEPARTMENT OF COMMERCE

Survey of Residential Alterations and Repairs
1977 Census of Manufacturers: Report from Penal Institutions
Quarterly Financial Report: Title III Technical Assistance Grants
Seafood Industry Survey of the Comparison of Edible Aquatic Species
Survey of Radiation Calibration Needs in Therapy

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Oakland Unified School Mail-Back Survey; Oakland Catholic Schools Mail-Back Survey
Library General Information Survey
Survey of Secondary School Principals
California Beginning Teacher Evaluation Study
A Study of the State of Bilingual Materials Development and the Transition of Materials to the Classroom
Special Emphasis Program Evaluation
National Needs Assessment for Media and Materials for the Handicapped
Application for Federal Assistance (Nonconstruction Programs)—Education for the Handicapped—Preschool Incentive Grant
A Survey of Viewership of Television Series Sponsored by Emergency School Aid Act Legislation
Assessment of Status of Marketing of Educational Materials for the Handicapped
Assembling Industrial Noise Control Case Histories
Impact of Family Therapy Treatment of Client Outcome and Program Functioning
Vendor Ordering Office Address Verification and Correction
Survey of Foundation Support for Health Research and Development
HEW Region X Migrant Study: Farmworker Service Provider Questionnaires

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Report of Tenants' Accounts Receivable
Evaluation of the Impact of Civil Rights Enforcement Activity

DEPARTMENT OF THE INTERIOR

Statewide Recreational Survey of California Residents Regarding use of the California Desert

DEPARTMENT OF LABOR

Analysis of Unassigned Recipients in the Work Incentive Program
Application for Federal Certificate of Age

DEPARTMENT OF THE TREASURY

U.S. Coinage Requirements, Survey of State Departments of Revenue

ENVIRONMENTAL PROTECTION AGENCY

Evaluation of Neuropsychologic Function in Children with Asymptomatic Lead Burdens: Teacher and Parent Questionnaire

FEDERAL MEDIATION AND CONCILIATION SERVICE

Request for Arbitration Panel
Arbitrators's Report and Fee Statement

FEDERAL RESERVE BOARD

Registration Statement, Deregistration Statement, Annual Report

NATIONAL FOUNDATION ON THE HUMANITIES AND ARTS

Estimation of Needs for Musical and Managing Directors of American Orchestras
Challenge Grants Progress Report

GENERAL SERVICES ADMINISTRATION

Bidders Mailing List Application Code Sheet

NATIONAL SCIENCE FOUNDATION

Support of Basic Research by Industry
Evaluation of Research Productivity

TENNESSEE VALLEY AUTHORITY

U.S. Fertilizer Port Study
Comparability Study of Power Plant Operators

U.S. CIVIL SERVICE COMMISSION

Survey for the Collection of Racial and Ethnic Data of Persons Applying for Federal Employment
U.S. Civil Service Commission College Recruitment Survey

U.S. INTERNATIONAL TRADE COMMISSION

Questionnaire for Cattle Growers and Feedlot Operators
Importers' Questionnaire—Live Cattle and/or Meat of Cattle
Questionnaire for Processors of Meat of Cattle
Importers' Questionnaire (Malleable Cast-Iron Pipe and Tube Fittings)

VETERANS ADMINISTRATION

Transfer of Ownership Data—Portfolio Loan

SCHEDULE OF RELEASE DATES FOR PRINCIPAL FEDERAL ECONOMIC INDICATORS

August 1977

Release dates scheduled by agencies responsible for the principal economic indicators of the Federal Government are given below. *These are target dates that will be met in the majority of cases. Occasionally agencies may be able to release data a day or so earlier or may be forced by unavoidable compilation problems to release a report one or more days later.*

month covering release dates for the following month. The indicators are identified by the title of the releases in which they are included; the source agency; the release identification number where applicable; and the *Business Conditions Digest* series numbers for all BCD series included, shown in parentheses. Release date information for additional series can be found in publications of the sponsoring agencies.

A similar schedule will be shown here each

(Any inquiries about these series should be directed to the issuing agency.)

<i>Date</i>	<i>Subject</i>	<i>Data for</i>
August 1	Construction Expenditures (Press release), Census, C-30 (69)	June
2	Open Market Money Rates and Bond Prices, Federal Reserve Board (FRB), G. 13	July
2	Manufacturers' Shipments, Inventories, and Orders, Census, M3-1 (65)	June
3	Condition Report of Large Commercial Banks, FRB, H.4.2 (72, 112)	Week Ending July 27
4	Money Stock Measures, FRB, H.6 (85, 102, 107, 108)	Week Ending July 27
4	Factors Affecting Bank Reserves and Condition Statement of Federal Reserve Banks, FRB, H.4.1 (93, 94)	Week Ending August 3
4	Manufacturers' Export Sales and Orders, Census, M4-A	June
4	Consumer Credit, FRB, G. 19 (66, 113)	June
5	The Employment Situation (Press release), Bureau of Labor Statistics (BLS) (1, 21, 37, 40-44, 91, 340, 442, 444-448, 451-453)	July
8	Monthly Wholesale Trade (Press release), Census, BW	June

<i>Date</i>	<i>Subject</i>	<i>Date for</i>
August 10	Condition Report of Large Commercial Banks, FRB, H.4.2 (72, 112)	Week Ending August 3
11	Money Stock Measures, FRB, H. 6 (85, 102, 107, 108)	Week Ending August 3
11	Factors Affecting Bank Reserves and Condition Statement of Federal Reserve Banks, FRB, H.4.1 (93, 94)	Week Ending August 10
11	Wholesale Price Index (Press release), BLS (330-334)	July
12	Advance Monthly Retail Sales (Press release), Census (54)	July
15	Industrial Production and Related Data, FRB, G. 12.3 (47, 73-76)	July
15	Food Assistance Programs Results, Agriculture	June
15	Yields on FHA Insured New Home 30-year Mortgages, HUD (118)	August 1
16	Housing Starts (Press release), Census, C-20 (28, 29)	July
16	Manufacturing and Trade: Inventories and Sales, Bureau of Economic Analysis (BEA) (31, 56, 71)	June
17	Output, Capacity, and Capacity Utilization, FRB, G.3 (82, 84)	July
17	Personal Income, BEA (223)	July
17	Condition Report of Large Commercial Banks, FRB, H.4.2 (72, 112)	Week Ending August 10
18	Money Stock Measures, FRB, H.6 (85, 102, 107, 108)	Week Ending August 10
18	Factors Affecting Bank Reserves and Condition Statement of Federal Reserve Banks, FRB, H.4.1 (93, 94)	Week Ending August 17
18	Selected Data on International Transactions of the United States, BEA	2 Q '77
19	Consumer Price Index (Press release), BLS (320-322)	July
19	Real Earnings (Press release), BLS (341)	July
19	Advance Report on Durable Goods, Manufacturers' Shipments and Orders (Press release), Census, M3-1, (6, 24, 25, 96, 548)	July
19	Gross National Product (Revised) BEA (200, 205, 210)	2 Q '77
19	Corporate Profits, BEA (16, 22, 68)	2 Q '77

<i>Date</i>	<i>Subject</i>	<i>Data for</i>
August 22	Federal Receipts and Expenditures, NIPA Basis, BEA (500, 501, 502)	2 Q '77
23	Average Yields of Long-Term Bonds, Treasury Bulletin (115, 116)	June
24	Condition Report of Large Commercial Banks, FRB, H.4.2 (72, 112)	Week Ending August 17
25	Money Stock Measures, FRB, H.6 (85, 102, 107, 108)	Week Ending August 17
25	Factors Affecting Bank Reserves and Condition Statement of Federal Reserve Banks, FRB, H.4.1 (93, 94)	Week Ending August 24
25	Export and Import Merchandise Trade, Census, FT-900 (602, 612)	July
26	Work Stoppages (Press release), BLS	July
29	Labor Turnover in Manufacturing (Press release), BLS (2, 3, 4)	July
30	Composite Indexes of Leading, Coincident, and Lagging Indicators (Press release), BEA	June-July
30	Productivity and Costs in Nonfinancial Corporate Sector, BLS (63, 358, 370)	2 Q '77
30	Manufacturers' Shipments, Inventories, and Orders, Census, M3-1 (65)	July
31	Defense Indicators, BEA (525)	July
31	Agricultural Prices, Agriculture	Mid-August
31	Condition Report of Large Commercial Banks, FRB, H.4.2 (72, 112)	Week Ending August 24

PERSONNEL NOTES

FEDERAL RESERVE BOARD

Division of Research and Statistics: CHE SHENG TSAO, formerly a Professor at the University of Massachusetts, has

joined the Board's staff as an economist in the Business Conditions Section. JACK K. WALTON, III, has joined the Board's staff as an economist in the Statistical Management and Control Section.

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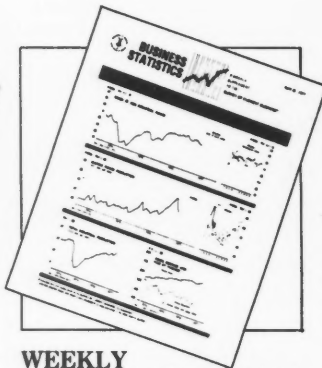
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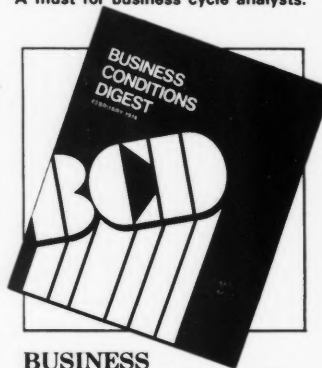
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