

January 2007

# **GIPSA Livestock and Meat Marketing Study**

Contract No. 53-32KW-4-028

## **Volume 2: Data Collection Methods and Results Final Report**

**Appendixes D, E, and F**

Prepared for

**Grain Inspection, Packers and Stockyard Administration**  
U.S. Department of Agriculture  
Washington, DC 20250

Prepared by

**RTI International**  
Health, Social, and Economics Research  
Research Triangle Park, NC 27709

RTI Project Number 0209230





# **Appendix D: Instruction Booklets for the Transactions Data Collection**

This appendix contains the set of instruction booklets used for the transactions data collection described in this volume. The booklets are included in the following order:

- beef packers
- pork packers
- lamb packers
- meat processors
- food wholesalers
- meat exporters
- food retailers
- food service operators





United States Department of Agriculture  
**Grain Inspection,  
Packers and Stockyards Administration**

OMB Control No. 0580-0024  
Expiration Date: 10/31/2008

# LIVESTOCK AND MEAT MARKETING STUDY:

# DATA COLLECTION FOR BEEF PACKERS

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0580-0024 and the expiration date is 10/31/2008. The time required to complete this information collection is estimated to average 80 to 120 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

For information about providing the data, please contact:

Justin Taylor  
RTI International  
3040 Cornwallis Road  
P.O. Box 12194  
Research Triangle Park, NC 27709  
Toll-free: (877) 254-1949  
E-mail: [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG)

For general information about the study, please contact:

Roger E. Schneider  
USDA, GIPSA  
14th and Independence Ave SW  
Washington, DC 20250-3647  
Phone: 202-720-7455  
E-mail: [Roger.E.Schneider@usda.gov](mailto:Roger.E.Schneider@usda.gov)

If you have questions regarding your rights as a research participant, you may contact RTI's Office of Research Protection toll-free at 866-214-2043.

# Instructions

The Grain Inspection, Packers and Stockyards Administration (GIPSA) of the U.S. Department of Agriculture (USDA) has contracted with RTI International (RTI) \* to conduct a study of alternative marketing arrangements in the livestock and meat industries. This study, which was funded by Congress, will address the many questions and concerns that have been raised about changes in the structure and business practices in the livestock and meat industries.

The enclosed brochure provides additional information on the study, including the type of analyses that will be conducted and how the study findings will be used. To conduct the study, RTI is collecting data from the largest meat packers, meat processors, food wholesalers, food retailers, food service operators, and meat exporters. One or more of the plants owned by your company was selected to provide data for this study. **Response to this data request is required for meat packers and processors as a special report under the Packers and Stockyards (P&S) Act (7 U.S.C. 222).**

The data are being collected exclusively for statistical purposes consistent with the provisions of the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA) and will be kept completely confidential. Additionally, the data are subject to the confidentiality restrictions in the P&S Act. Your response to the data collection request will not be used as the basis of an investigation or enforcement action against your company. The study findings will be reported to the public only in aggregated form so that individual establishments cannot be identified. Section VII provides additional information on RTI's data security and confidentiality procedures.

Beef packers are required to provide the following types of data:

- daily transactions data for purchases of fed cattle, including fed Holsteins
- daily transactions data for sales of beef products from fed cattle
- weekly profit and loss (P&L) statements

If possible, we ask that you use the suggested file format specifications provided in the instructions in the following sections. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary.

**We ask that you send the requested data by April 14, 2006.** Send electronic data files to RTI. Section VI provides instructions for sending electronic data files to RTI. If you are **unable to provide** the data to RTI in an electronic format, send hard copy data to GIPSA. Section VIII provides instructions for sending hard copy data to GIPSA.

## Questions?

If you have any questions, please send an e-mail to [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG) or call our help line toll-free at (877) 254-1949. We operate the help line on weekdays from 9:00 a.m. to 5:00 p.m. EST.

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\*RTI International is a trade name of Research Triangle Institute.

## I. What is the Time Period for the Data Request?

We ask that you provide the requested data for the 2.5-year period starting October 6, 2002, and ending March 31, 2005. GIPSA sent your company a letter in October 2004 stating that your company would need to retain data for this study.

## II. Which Establishments Must Comply with the Data Request?

Provide the requested data at the establishment (plant) level, *not* the company or firm level. A transmittal form is enclosed for each establishment selected to provide data for the study. If you have any questions about which establishments must provide data, please call our help line.

## III. What Information Needs to Be Provided on Daily Transactions for Purchases of Fed Cattle?

Provide data on purchases of fed cattle for each transaction. ***A transaction record is defined as the purchase of a pen or lot of fed cattle, including fed Holsteins.***<sup>1</sup> The dates of the transactions should include October 6, 2002, through March 31, 2005.

Table 1 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 1 (Table1\_Purchase.xls). The file includes two worksheets or tabs. You can use the worksheet "purchase\_data" as a template for preparing the file in the specified format. If you are providing the data in an alternative format, you can use the worksheet "purchase\_dictionary" to prepare the data dictionary.

You can provide the data in one or more files. Please include "Purchase" in the file name for each data file containing data on purchase transactions and a sequential number identifying each file.

## IV. What Information Needs to Be Provided on Daily Transactions for Sales of Beef Products from Fed Cattle?

Provide data on sales of beef products from fed cattle, including fed Holsteins, for each transaction. ***A transaction record is defined as the sale of a specific type of raw or processed beef product based on the Institutional Meat Purchase Specification (IMPS) item numbers or other coding system. In other words, each record is an individual line item on the sales invoice.*** Do not include by-product sales transactions. The dates of the transactions should include October 6, 2002, through March 31, 2005.

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<sup>1</sup> If data are not available at the pen or lot level, provide data for the smallest grouping for which a separate pricing transaction can be identified.



Table 2 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 2 (Table2\_Sales.xls). The file includes two worksheets or tabs. You can use the worksheet "sales\_data" as a template for submitting the data in the specified format. If you are providing the data in an alternative format, you can use the worksheet "sales\_dictionary" to prepare the data dictionary.

You can provide the data in one or more files. Please include "Sale" in the file name for each data file containing data on sales transactions and a sequential number identifying each file.

#### **V. What Information Needs to Be Provided on Profit and Loss (P&L) Statements?**

***We ask that you provide weekly P&L statements for October 6, 2002, through March 31, 2005.*** If your company only produces monthly statements, you can provide monthly statements. Provide your company's standard P&L statements for each production stage operated by this plant (slaughter, fabrication, and further processing). You can provide the data in the format used by your company, or use the format shown in Table 3 to provide the data. The enclosed CD provides a template for providing the data as shown in Table 3 (Table3\_PL.xls). If you use the template, please insert additional lines if needed to include additional detail. If you use the template and your company combines production stages in its P&L statements (for example, slaughter and fabrication), provide the data in the column for the first production stage included (that is, slaughter).

You can provide the data in one or more files. Please include "PL" in the file name for each data file containing P&L statements and a sequential number identifying each file.

#### **VI. How Do I Send Electronic Data Files to RTI?**

Use the enclosed transmittal form(s) (see Figure 1 for an example) to provide the file format and file names for the files being submitted. A separate transmittal form has been provided for each establishment for which your company is required to provide data. For your convenience, information about the establishment and company has been provided on the form. Please write in any necessary corrections to this information, provide the contact information for the individual who is submitting the data, and complete the information on plant capacity.

You may provide the data files in any file format such as ASCII, comma delimited, Microsoft Excel, Microsoft Access, or other nonproprietary format. Copy the files for the purchase data, sales data, and P&L statements onto the CD provided. So that we can verify that the package was not tampered with en route to RTI, we ask that you use the following procedures:

1. Place the CD with the data files in the CD holder. If different file specifications were used, include the data dictionary as an electronic document on the CD or as a paper document.

2. Place the CD holder inside the envelope along with the completed transmittal form(s).
3. Seal the envelope using the seal provided.
4. Place the sealed envelope in the pre-addressed Federal Express box. Only authorized RTI project team members are permitted to break the seal securing the data files.

A Federal Express box, CD, envelope, and seal were provided with this instruction booklet. If you did not receive any of these materials or have misplaced them, please contact the help line and we will send you additional materials. Use the enclosed mailing label or send the data files to Ms. Shawn Karns, RTI International, Hobbs Building, Room 111, 3040 Cornwallis Road, Research Triangle Park, NC, 27709. If you have any questions about how to send the data, please contact our help line (see page 1).

A representative from RTI will notify you by fax or e-mail when the Federal Express box has been received.

#### **VII. What Data Security and Confidentiality Procedures Will RTI Use?**

Packages containing electronic data files will be delivered to RTI's Data Security Coordinator for this project. After the package has been logged in, it will be transported to a secure room by a member of the RTI project team. The raw data files will be stored in a locked file cabinet in the secure room, and stand-alone (nonnetwork) work stations in the secure room will be used to work with the establishment-level data files. Only authorized RTI project team members will have access to the secure room.

Only project team members who have signed a nondisclosure agreement with GIPSA and completed data security training will have access to the analysis datasets. Analysis datasets created using the data will not include identifying information such as establishment name, company name, respondent name, and street address. Each establishment will be identified by a unique ID number. The link file (links the ID number to the establishment) will be stored in a locked file cabinet in the secure room. The analysis datasets will be encrypted using encryption software. A passphrase is required to decrypt and access the analysis datasets.

#### **VIII. How Do I Send Hard Copy Data to GIPSA?**

If you are ***unable to provide*** the data to RTI in an electronic format, send hard copy data to GIPSA. If shipping more than one box, please number the boxes (for example, 1 of 2 and 2 of 2). Please provide a description of the data being sent on the transmittal form(s) and include the transmittal form(s) in box 1. Please seal the box using the seal provided.

Send hard copy data to the following address: LMMS Coordinator, Grain Inspection, Packers and Stockyard Administration, 1400 Independence Avenue SW, Room 1642-S, Stop 3647, Washington, DC, 20250. For your convenience, a mailing label is enclosed for sending hard copy data to GIPSA. If you need additional seals or mailing labels, please contact our help line.

**Table 1. Purchase Data Fields**

A transaction record is defined as the purchase of a pen or lot of fed cattle. If field is not applicable, enter NA.

<b>Field Name</b>	<b>Description</b>
ID Number	Unique ID number used to identify individual lot or transaction
Plant Number	FSIS establishment number
Purchase Date	Date lot of cattle was purchased (yyyy/mm/dd)
Pricing Date	Date price for lot of cattle was determined (yyyy/mm/dd)
Kill Date	Date first cattle in lot were slaughtered (yyyy/mm/dd)
Seller Name	Name of seller (owner of cattle)
Seller ID Number	ID number used by establishment to identify individual seller
Seller City	City location of seller
Seller State	State location of seller
Seller Zip	Zip code of seller
Seller Country	Country of seller
Feedlot Name	Name of person or feedlot that finished cattle (if different from seller name)
Feedlot City	City location of feedlot where cattle were fed
Feedlot State	State location of feedlot where cattle were fed
Feedlot Zip	Zip code of feedlot where cattle were fed
Feedlot Country	Country of feedlot where cattle were fed
Number of Head	Number of live cattle delivered in this lot
Condemn	Number of condemned and dead cattle in this lot
Cattle Type	Indicate code for cattle type: 1 = Lot was primarily beef cattle 2 = Lot was primarily dairy cattle 3 = Mixed beef and dairy cattle
Steers	Number of steers in this lot
Heifers	Number of heifers in this lot
Bulls	Number of bulls, stags, or bullocks in this lot
Cows	Number of cows or heiferettes in this lot
Live Weight	Net live or actual purchase weight for this lot (equal to gross live weight minus shrink)
Shrink	Shrink percentage used to calculate purchase weight
Hot Weight	Total hot weight of this lot (carcass weight or dressed weight)
Cold Weight	Total cold weight of this lot (if recorded)
Weight Units	Indicate code for unit of measure for weight: 1 = Pounds 2 = Hundred weight (cwt)

(continued)

**Table 1. Purchase Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Total Cost	Total delivered cost of this lot (includes base price, adjustments, and all other costs paid by packer; if internal transfer, include value of transfer)
Cattle Cost	Total cost paid by packer for cattle in this lot, including adjustments (premiums and discounts)
Shipping Cost	Total transportation cost paid by packer for this lot (enter zero if cost was not paid by packer)
Commission Cost	Total commission cost paid by packer for this lot (enter zero if cost was not paid by packer)
Miscellaneous Costs	Any additional costs paid by packer for this lot; for example, feed, insurance, Beef Board, other promotional deductions (enter zero if none)
Base Price	Average base price paid for this lot
Adjustments	Average merit-based adjustments (premiums and discounts) paid for this lot (enter zero if none)
Pricing Units	Indicate code for unit of measure for base price and adjustments: 1 = \$ per pound, live weight 2 = \$ per pound, carcass weight 3 = \$ per hundred weight (cwt), live weight 4 = \$ per hundred weight (cwt), carcass weight 5 = \$ per head
Prime	Number of head in this lot that were carcass grade Prime
Choice	Number of head in this lot that were carcass grade Choice
Upper Choice	Number of head in this lot that were carcass grade Upper 2/3 Choice
Lower Choice	Number of head in this lot that were carcass grade Lower 1/3 Choice
Select	Number of head in this lot that were carcass grade Select
Standard	Number of head in this lot that were carcass grade Standard
Quality Grade Other	Number of head in this lot that were not graded or had a quality grade other than those specified above
Dark Cutter	Number of head in this lot that were classified as dark cutters
Yield Grade 1	Number of head in this lot that were carcass Yield Grade 1
Yield Grade 2	Number of head in this lot that were carcass Yield Grade 2
Yield Grade 3	Number of head in this lot that were carcass Yield Grade 3
Yield Grade 4	Number of head in this lot that were carcass Yield Grade 4
Yield Grade 5	Number of head in this lot that were carcass Yield Grade 5
Yield Grade Other	Number of head in this lot that were not graded or had a yield grade other than those specified above

(continued)

**Table 1. Purchase Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Heavy Weight	Number of head in this lot that were classified heavy weight
Light Weight	Number of head in this lot that were classified light weight
Standard Weight Range, Lower Limit	Minimum weight allowed before cattle were classified light weight
Standard Weight Range, Upper Limit	Maximum weight allowed before cattle were classified heavy weight
Weight Range Units	Indicate code for unit of measure for standard weight range: 1 = Hot weight pounds 2 = Cold weight pounds 3 = Live weight pounds
Age 30+	Number of head in this lot that were 30 months of age and older
Branded/Certification	Number of head in this lot that were eligible for branded or certification program (include Kosher and Halal)
Program Name	Name of branded or certification program(s)

(continued)

**Table 1. Purchase Data Fields (continued)**

Field Name	Description
<b><i>For each of the fields below, indicate which code applies to the lot.</i></b>	
Ownership Method	1 = Sole ownership 2 = Joint venture (two or more businesses joining together under a contractual agreement for a specific venture such as use of specific animal genetics or brand names) 3 = Shared ownership (original owner and packer both retain partial ownership of livestock) 4 = Other (ownership method not captured in other categories)
Purchase Method	1 = Auction barns 2 = Video/electronic auctions 3 = Dealers or brokers 4 = Direct trade (cash or spot market transaction between an individual buyer and seller of livestock within 2 weeks of kill date) 5 = Forward contract (oral or written agreement for the <u>future</u> purchase of a specified quantity of livestock; contract is entered into at any time between placement of livestock on feed and 2 weeks prior to kill date) 6 = Marketing agreement ( <u>long-term</u> oral or written arrangement where a packer agrees to purchase livestock under specific terms) 7 = Packer fed/owned (transfer of packer-owned livestock from either a custom feedlot or packer-owned or controlled feedlot) 8 = Other (purchase method not captured in other categories)
Pricing Method	1 = Individually negotiated pricing (negotiations between a buyer and seller <u>excluding</u> negotiated formula pricing) 2 = Public auction 3 = Sealed bid (price determined by sealed bidding process between multiple buyers and sellers) 4 = Formula pricing (using another price as the base for the purchase of livestock; formula can include grid or non-grid values) 5 = Internal transfer (transfer of packer-owned livestock from a feedlot to the slaughter plant) 6 = Other (pricing method not captured in other categories)
Formula Base	If formula pricing was used, indicate code for base of formula price: 1 = Individual or multiple plant average price 2 = Individual or multiple plant average cost of production 3 = USDA live quote 4 = USDA dressed or carcass quote 5 = USDA boxed beef price 6 = Chicago Mercantile Exchange (CME) cattle futures 7 = Retail price 8 = Subscription service price (for example, Cattle-Fax, Urner Barry) 9 = Other market price 10 = Other (formula base not captured in other categories)
Valuation Method	1 = Live weight purchase 2 = Carcass weight purchase, NOT dependent on grid value 3 = Carcass weight purchase, dependent on grid value 4 = Other (valuation method not captured in other categories)

**Table 2. Sales Data Fields**

A transaction record is defined as the sale of a specific type (IMPS or product code) of raw or processed beef product. In other words, each record is an individual line item on the sales invoice. If field is not applicable, enter NA.

Field Name	Description
ID Number	Unique ID number used to identify transaction
Plant Number	FSIS establishment number
Order Date	Date beef product was ordered by buyer (yyyy/mm/dd)
Pack Date	Earliest date beef product was packaged (yyyy/mm/dd)
Ship Date	Date beef product was shipped (yyyy/mm/dd)
Buyer Name	Name of company buying beef product
Buyer City	City location of buyer
Buyer State	State location of buyer
Buyer Zip	Zip code of buyer
Buyer Country	Country of buyer
Buyer Type	Indicate code for buyer type: 1 = Meat processor or food manufacturer 2 = Wholesaler, broker, or distributor 3 = Retailer (grocery store, meat market, warehouse club, mass merchandiser, or other retail establishments located in the United States) 4 = Food service (restaurant, hotel, institution, or other food service establishments located in the United States) 5 = Foreign buyers (foreign distributor, retailer, or food service) 6 = Other
Receiver Name	Name of company receiving beef product (if different from buyer name)
Receiver City	City location of beef product destination
Receiver State	State location of beef product destination
Receiver Zip	Zip code of beef product destination
Receiver Country	Country of beef product destination
IMPS Item Number	IMPS item number that specifies beef product type (if product has an IMPS code)
Product Code	Product code as defined by seller (if defined differently than IMPS code)
Product Name	Beef product name
Product Description	Product description as defined by seller (if not using IMPS codes)
Branded	Indicate code: 1 = Beef product is produced and marketed under a corporate trademark or one of USDA's certified programs (do <u>not</u> include USDA grading) 2 = Beef product is NOT branded
Other Certification	Indicate code: 1 = Beef product has other type of certification (include Kosher and Halal, do <u>not</u> include USDA grading) 2 = Beef product does NOT have other type of certification
Program Name	Name of branded or certification program(s)

(continued)

**Table 2. Sales Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Quality Grade	Indicate code for quality grade: 1 = Prime 2 = Choice 3 = Upper 2/3 Choice 4 = Lower 1/3 Choice 5 = Select 6 = Other
Yield Grade	Indicate code for yield grade: 1 = Yield Grade 1 2 = Yield Grade 2 3 = Yield Grade 3 4 = Yield Grade 4 5 = Yield Grade 5 6 = Other
Product Classification	Indicate code for product classification: 1 = Carcass or side 2 = Primal cut 3 = Subprimal cut 4 = Ground (including trimmings) 5 = Portion cut 6 = Case ready 7 = Processed, ready-to-eat (does NOT require cooking for food safety) 8 = Processed, not-ready-to-eat (requires cooking for food safety) 9 = Other
Trim Level	Indicate code for trim level: 1 = 3/4 inch (19 mm) 2 = 1/4 inch (6 mm) 3 = 1/8 inch (3 mm) 4 = Practically free 5 = Peeled/denuded 6 = Peeled/denuded (surface membrane removed)
Fat Content	Percentage of fat content for ground beef and trimmings
Tenderization	Indicate code: 1 = Beef product was tenderized or marinated 2 = Beef product was NOT tenderized or marinated
Added Ingredients	Indicate code: 1 = Beef product had added ingredients 2 = Beef product did NOT have added ingredients
Refrigeration	Indicate code for state of refrigeration: 1 = Chilled/fresh 2 = Frozen 3 = Other

(continued)



**Table 2. Sales Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Packaging	Indicate code for packaging: 1 = Vacuum package 2 = Gas package 3 = Paper 4 = Combination 5 = Other
Total Weight	Total weight of beef product in pounds for this transaction
List Price	Total list price for beef product in this transaction
Gross Price	Total negotiated price for beef product in this transaction
Price Adjustments	Total net value of discounts and premiums provided by packer (given to buyer) for beef product in this transaction (quantity, quality, bundling discounts, etc.) (enter zero if none)
Net Price	Total price paid by buyer for beef product in this transaction
Shipping Cost	Total shipping cost paid by packer for beef product in this transaction (enter zero if cost was not paid by packer)
Commission Cost	Total commission cost paid by packer for beef product in this transaction (enter zero if cost was not paid by packer)

(continued)

**Table 2. Sales Data Fields (continued)**

Field Name	Description
<i>For each of the fields below, indicate which code applies to the transaction.</i>	
Sales Method	<p>1 = Cash or spot market (selling product directly to a buyer, less than 3 weeks forward, at list or negotiated price including any specified discounts or premiums)</p> <p>2 = Forward contract (oral or written agreement for the <u>future</u> purchase of specified quantity of product at either a fixed or base price)</p> <p>3 = Marketing agreement (<u>long-term</u> oral or written arrangement where a buyer agrees to purchase product under specific terms)</p> <p>4 = Internal company transfer (transfer of product to another business unit owned by same company)</p> <p>5 = Other (sales method not captured in other categories)</p>
Pricing Method	<p>1 = Price list (using seller's price list without negotiation)</p> <p>2 = Individually negotiated pricing (negotiations between a buyer and seller, <u>excluding</u> negotiated formula pricing)</p> <p>3 = Formula pricing (using another price as the base for the sale of product)</p> <p>4 = Sealed bid (price determined by a sealed bidding process between multiple buyers and sellers)</p> <p>5 = Internal transfer (transfer of product to another business unit owned by same company)</p> <p>6 = Other (pricing method not captured in other categories)</p>
Formula Base	<p>If formula pricing was used, indicate code for base of formula price:</p> <p>1 = Individual or multiple plant average price</p> <p>2 = Individual or multiple plant average cost of production</p> <p>3 = USDA publicly reported price</p> <p>4 = Retail price</p> <p>5 = Subscription service price (for example, Urner Barry)</p> <p>6 = Other market price</p> <p>7 = Other (formula base not captured in other categories)</p>

**Table 3. Profit and Loss (P&L) Statement Fields**

Provide your company's standard P&amp;L statement or use the format shown below to provide the data.

Field Name	Production Stage		
	Slaughter	Fabrication	Further Processing
Week Ending (YYYY/MM/DD)			
Hours Scheduled			
Hours Actual			
Head per Hour Scheduled			
Head per Hour Actual			
Pounds per Hour			
Head Slaughtered		—	—
Pounds			
Gross Sales	\$	\$	\$
Less Adjustments	\$	\$	\$
Net Sales	\$	\$	\$
Plus Credits	\$	\$	\$
Total Sales	\$	\$	\$
Livestock Purchases	\$	\$	\$
Net Livestock Transfers	\$	\$	\$
Net Inventory Adjustments	\$	\$	\$
Meat Purchases	\$	\$	\$
Net Meat Transfers	\$	\$	\$
Total Cost of Sales	\$	\$	\$
Gross Margin	\$	\$	\$
Operating Costs			
Labor	\$	\$	\$
Other Variable	\$	\$	\$
Plant	\$	\$	\$
Other Fixed	\$	\$	\$
Total Operating Costs	\$	\$	\$
Other Expenses			
Sales	\$	\$	\$
Procurement	\$	\$	\$
Operations	\$	\$	\$
Bonuses	\$	\$	\$
Miscellaneous	\$	\$	\$
Total Other Expenses	\$	\$	\$

**Figure 1. Transmittal Form**

<b>Transmittal Form</b>		ID No. _____
Date _____		
Establishment no. _____		
Establishment name _____		
Address _____		
City _____	State _____	Zip _____
Company name _____		
Name of individual submitting data _____		
Phone number _____	Fax number _____	E-mail _____
Address _____		
City _____	State _____	Zip _____
<b>Purchase Data Files</b>		
File format _____		Number of files _____
Used specifications in Table 1: YES NO → Provide data dictionary on paper or CD		
File name (include "Purchase" in file name)	Description (for example, time period or other identifying information)	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
Page 1 of 3		

(continued)

**Figure 1. Transmittal Form (continued)**

<b>Sales Data Files</b>		ID No. _____
File format _____ Number of files _____		
Used specifications in Table 2: YES NO → Provide data dictionary on paper or CD		
File name (include "Sale" in file name)	Description (for example, time period or other identifying information)	
<b>P&amp;L Statement Data Files</b>		
File format _____ Number of files _____		
File name (include "PL" in file name)	Description (for example, time period)	
Page 2 of 3		

(continued)

**Slaughter and Processing Capacity**

What is your plant's maximum slaughter capacity per week for fed cattle? ***Provide your plant's capacity, not the actual slaughter volume.***

,  head per week

What is your plant's maximum processing capacity per week for beef products? ***Provide your plant's capacity, not the actual production volume. If no processing operations, enter zero.***

, ,  pounds per week or

,  head per week



United States Department of Agriculture  
**Grain Inspection,  
Packers and Stockyards Administration**

OMB Control No. 0580-0024  
Expiration Date: 10/31/2008

# LIVESTOCK AND MEAT MARKETING STUDY:

# DATA COLLECTION FOR PORK PACKERS

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0580-0024 and the expiration date is 10/31/2008. The time required to complete this information collection is estimated to average 80 to 160 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

For information about providing the data, please contact:

Justin Taylor  
RTI International  
3040 Cornwallis Road  
P.O. Box 12194  
Research Triangle Park, NC 27709  
Toll-free: (877) 254-1949  
E-mail: [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG)

For general information about the study, please contact:

Roger E. Schneider  
USDA, GIPSA  
14th and Independence Ave SW  
Washington, DC 20250-3647  
Phone: 202-720-7455  
E-mail: [Roger.E.Schneider@usda.gov](mailto:Roger.E.Schneider@usda.gov)

If you have questions regarding your rights as a research participant, you may contact RTI's Office of Research Protection toll-free at 866-214-2043.



# Instructions

The Grain Inspection, Packers and Stockyards Administration (GIPSA) of the U.S. Department of Agriculture (USDA) has contracted with RTI International (RTI)\* to conduct a study of alternative marketing arrangements in the livestock and meat industries. This study, which was funded by Congress, will address the many questions and concerns that have been raised about changes in the structure and business practices in the livestock and meat industries.

The enclosed brochure provides additional information on the study, including the type of analyses that will be conducted and how the study findings will be used. To conduct the study, RTI is collecting data from the largest meat packers, meat processors, food wholesalers, food retailers, food service operators, and meat exporters. One or more of the plants owned by your company was selected to provide data for this study. ***Response to this data request is required for meat packers and processors as a special report under the Packers and Stockyards (P&S) Act (7 U.S.C. 222).***

The data are being collected exclusively for statistical purposes consistent with the provisions of the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA) and will be kept completely confidential. Additionally, the data are subject to the confidentiality restrictions in the P&S Act. Your response to the data collection request will not be used as the basis of an investigation or enforcement action against your company. The study findings will be reported to the public only in aggregated form so that individual establishments cannot be identified. Section IX provides additional information on RTI's data security and confidentiality procedures.

Pork packers are required to provide the following types of data:

- daily transactions data for procurement of finished hogs
- contract settlement data for hog production contracts for finished hogs
- procurement transactions and contract settlement data for weaner and feeder pigs (not mandatory)
- daily transactions data for sales of pork products
- weekly profit and loss (P&L) statements

If possible, we ask that you use the suggested file format specifications provided in the instructions in the following sections. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary.

***We ask that you send the requested data by April 14, 2006.*** Send electronic data files to RTI. Section VIII provides instructions for sending electronic data files to RTI. If you are ***unable to provide*** the data to RTI in an electronic format, send hard copy data to GIPSA. Section X provides instructions for sending hard copy data to GIPSA.

## Questions?

If you have any questions, please send an e-mail to [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG) or call our help line toll-free at (877) 254-1949. We operate the help line on weekdays from 9:00 a.m. to 5:00 p.m. EST.

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\*RTI International is a trade name of Research Triangle Institute.

## I. What is the Time Period for the Data Request?

We ask that you provide the requested data for the 2.5-year period starting October 6, 2002, and ending March 31, 2005. GIPSA sent your company a letter in October 2004 stating that your company would need to retain data for this study.

## II. Which Establishments Must Comply with the Data Request?

Provide the requested data at the establishment (plant) level, *not* the company or firm level. A transmittal form is enclosed for each establishment selected to provide data for the study. If you have any questions about which establishments must provide data, please call our help line.

## III. What Information Needs to Be Provided on Daily Transactions for Procurement of Finished Hogs?

Provide data on procurement of finished hogs for each transaction. ***A transaction record is defined as the purchase of a lot of finished hogs.***<sup>1</sup> The dates of the transactions should include October 6, 2002, through March 31, 2005. ***Do not include data for hogs procured under a production contract in this section.*** Section IV provides instructions on how to provide contract settlement data on hog production contracts.

Table 1 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 1 (Table1\_Purchase.xls). The file includes two worksheets or tabs. You can use the worksheet "purchase\_data" as a template for preparing the file in the specified format. If you are providing the data in an alternative format, you can use the worksheet "purchase\_dictionary" to prepare the data dictionary.

You can provide the data in one or more files. Please include "Purchase" in the file name for each data file containing data on procurement transactions and a sequential number identifying each file.

***If your company uses procurement or marketing contracts to purchase finished hogs,*** please provide a precise description of the payment formulas used to purchase hogs either electronically or in hard copy.

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<sup>1</sup> If data are not available at the lot level, provide data for the smallest grouping for which a separate pricing transaction can be identified.

#### IV. What Information Needs to Be Provided on Contract Settlement Data for Hog Production Contracts for Finished Hogs?

*For each production contract in place for finished hogs during the period October 6, 2002, through March 31, 2005, please provide the following:*

- **Contract type**—indicate whether this contract is for:
  - Farrow-to-finish
  - Wean-to-finish
  - Feeder-to-finish
- **Contract form**—provide a copy of each contract form electronically or in hard copy. Please include a precise description of the payment formula used to compensate contract growers.
- **Contract settlement data**—provide contract settlement data or settlement sheets for each payment made to each contract grower in your establishment (division) during the requested time period. Please include a data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. Contract settlement sheets typically contain information such as:
  - grower identification number
  - date of placement on feed
  - number of animals placed on feed
  - cost of feeder pigs
  - housing space occupied
  - date of slaughter
  - number of animals slaughtered
  - date of settlement
  - percent mortality
  - total pounds of live weight slaughtered
  - condemnation and/or other rejections
  - total feed utilization
  - total cost of feed
  - cost of medication, vaccinations, and veterinary services
  - other expenses borne by the packer
  - feed conversion ratio
  - base payment
  - efficiency bonuses

- allowances
- total payment for this batch
- grower efficiency rank for this batch

You can provide the data in one or more files. Please include “Settle” in the file name for each data file containing data on contract settlements and a sequential number identifying each file. Include a reference to which contract generated the data on the transmittal form (see Section VIII).

**V. What Information Needs to Be Provided on Procurement Transactions and Contract Settlement Data for Weaner and Feeder Pigs?**

***We ask that if you purchase weaner and feeder pigs or have production contracts in place for these animals that you also provide data on these transactions or production contracts.*** It is optional that pork packers provide data for weaner and feeder pigs; however, we ask that you provide these additional data because data on upstream purchases will provide a more complete understanding of the reasons why marketing arrangements are used at different stages of production. Please provide the following:

- ***Contract type***—indicate the stage of production for which this contract is used.
- ***Contract form***—provide a copy of each contract form electronically or in hard copy. Please include a precise description of the payment formula used to compensate contract growers.
- ***Contract settlement data***—provide contract settlement data or settlement sheets for a sample of 5 to 10 settlements made to each contract grower in your establishment (division) during the requested time period. Please provide the contract settlement data in hard copy or in an electronic format and include a data dictionary.

You can provide the data in one or more files.

- Please include “Procurement” and “W” for weaner pigs or “F” for feeder pigs in the file name for each data file containing data on procurement transactions and a sequential number identifying each file.
- Please include “Settle” and “W” for weaner pigs or “F” for feeder pigs in the file name for each data file containing data on contract settlements and a sequential number identifying each file.

**VI. What Information Needs to Be Provided on Daily Transactions for Sales of Pork Products?**

Provide data on sales of pork products for each transaction. ***A transaction record is defined as the sale of a specific type of raw or processed pork product based on the Institutional Meat Purchase Specification (IMPS) item numbers or other coding system. In other words, each record is an individual line item on the sales invoice.***

Do not include by-product sales transactions. The dates of the transactions should include October 6, 2002, through March 31, 2005.

Table 2 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 2 (Table2\_Sales.xls). The file includes two worksheets or tabs. You can use the worksheet "sales\_data" as a template for submitting the data in the specified format. If you are providing the data in an alternative format, you can use the worksheet "sales\_dictionary" to prepare the data dictionary.

You can provide the data in one or more files. Please include "Sale" in the file name for each data file containing data on sales transactions and a sequential number identifying each file.

#### **VII. What Information Needs to Be Provided on Profit and Loss (P&L) Statements?**

***We ask that you provide weekly P&L statements for October 6, 2002, through March 31, 2005.*** If your company only produces monthly statements, you can provide monthly statements. Provide your company's standard P&L statements for each production stage operated by this plant (slaughter, fabrication, and further processing). You can provide the data in the format used by your company, or use the format shown in Table 3 to provide the data. The enclosed CD provides a template for providing the data as shown in Table 3 (Table3\_PL.xls). If you use the template, please insert additional lines if needed to include additional detail. If you use the template and your company combines production stages in its P&L statements (for example, slaughter and fabrication), provide the data in the column for the first production stage included (that is, slaughter).

You can provide the data in one or more files. Please include "PL" in the file name for each data file containing P&L statements and a sequential number identifying each file.

#### **VIII. How Do I Send Electronic Data Files to RTI?**

Use the enclosed transmittal form(s) (see Figure 1 for an example) to provide the file format and file names for the files being submitted. A separate transmittal form has been provided for each establishment for which your company is required to provide data. For your convenience, information about the establishment and company has been provided on the form. Please write in any necessary corrections to this information, provide the contact information for the individual who is submitting the data, and complete the information on plant capacity.

You may provide the data files in any file format such as ASCII, comma delimited, Microsoft Excel, Microsoft Access, or other nonproprietary format. Copy the files for the purchase data, sales data, and P&L statements onto the CD provided. So that we can verify that the package was not tampered with en route to RTI, we ask that you use the following procedures:

1. Place the CD with the data files in the CD holder. If different file specifications were used, include the data dictionary as an electronic document on the CD or as a paper document.
2. Place the CD holder inside the envelope along with the completed transmittal form(s) and copies of production contracts (if hard copy).
3. Seal the envelope using the seal provided.
4. Place the sealed envelope in the pre-addressed Federal Express box. Only authorized RTI project team members are permitted to break the seal securing the data files.

A Federal Express box, CD, envelope, and seal were provided with this instruction booklet. If you did not receive any of these materials or have misplaced them, please contact the help line and we will send you additional materials. Use the enclosed mailing label or send the data files to Ms. Shawn Karns, RTI International, Hobbs Building, Room 111, 3040 Cornwallis Road, Research Triangle Park, NC, 27709. If you have any questions about how to send the data, please contact our help line (see page 1).

A representative from RTI will notify you by fax or e-mail when the Federal Express box has been received.

#### **IX. What Data Security and Confidentiality Procedures Will RTI Use?**

Packages containing electronic data files will be delivered to RTI's Data Security Coordinator for this project. After the package has been logged in, it will be transported to a secure room by a member of the RTI project team. The raw data files will be stored in a locked file cabinet in the secure room, and stand-alone (nonnetwork) work stations in the secure room will be used to work with the establishment-level data files. Only authorized RTI project team members will have access to the secure room.

Only project team members who have signed a nondisclosure agreement with GIPSA and completed data security training will have access to the analysis datasets. Analysis datasets created using the data will not include identifying information such as establishment name, company name, respondent name, and street address. Each establishment will be identified by a unique ID number. The link file (links the ID number to the establishment) will be stored in a locked file cabinet in the secure room. The analysis datasets will be encrypted using encryption software. A passphrase is required to decrypt and access the analysis datasets.

#### **X. How Do I Send Hard Copy Data to GIPSA?**

If you are **unable to provide** the data to RTI in an electronic format, send hard copy data to GIPSA. If shipping more than one box, please number the boxes (for example, 1 of 2 and 2 of 2). Please provide a description of the data being sent on the transmittal form(s) and include the transmittal form(s) in box 1. Please seal the box using the seal provided.

Send hard copy data to the following address: LMMS Coordinator, Grain Inspection, Packers and Stockyard Administration, 1400 Independence Avenue SW, Room 1642-S, Stop 3647, Washington, DC, 20250. For your convenience, a mailing label is enclosed for sending hard copy data to GIPSA. If you need additional seals or mailing labels, please contact our help line.

**Table 1. Procurement Data Fields**

A transaction record is defined as the purchase of a lot of hogs. If field is not applicable, enter NA.

<b>Field Name</b>	<b>Description</b>
ID Number	Unique ID number used to identify individual lot or transaction
Plant Number	FSIS establishment number
Purchase Date	Date lot of hogs was purchased (yyyy/mm/dd)
Pricing Date	Date price for lot of hogs was determined (yyyy/mm/dd)
Kill Date	Date first hogs in lot were slaughtered (yyyy/mm/dd)
Seller Name	Name of seller (owner of hogs)
Seller ID Number	ID number used by establishment to identify individual seller
Seller City	City location of seller
Seller State	State location of seller
Seller Zip	Zip code of seller
Seller Country	Country of seller
Finisher Name	Name of person or farm who finished hogs (if different from seller name)
Finisher City	City location where hogs were finished
Finisher State	State location where hogs were finished
Finisher Zip	Zip code where hogs were finished
Finisher Country	Country where hogs were finished
Number of Head	Number of live hogs delivered in this lot
Condemn	Number of condemned and dead hogs in this lot
Barrows & Gilts	Number of combined barrows and gilts in this lot
Sows	Number of sows in this lot
Boars & Stags	Number of combined boars and stags in this lot
Off Quality	Number of off quality hogs in this lot (for example, PSE)
Live Weight	Total live weight of this lot
Hot Weight	Total hot weight of this lot (carcass weight or dressed weight)
Weight Units	Indicate code for unit of measure for weight: 1 = Pounds 2 = Hundred weight (cwt)
Total Cost	Total delivered cost of this lot (includes base price, adjustments, and all other costs paid by packer; if internal transfer, include value of transfer)
Hog Cost	Total cost paid by packer for hogs in this lot, including adjustments (premiums and discounts)
Shipping Cost	Total transportation cost paid by packer for this lot (enter zero if cost was not paid by packer)
Commission Cost	Total commission cost paid by packer for this lot (enter zero if cost was not paid by packer)
Miscellaneous Costs	Any additional costs paid by packer for this lot; for example, insurance, Pork Board, other promotional deductions (enter zero if none)
Ledger Adjustments	Total ledger adjustments for this lot, indicate positive or negative adjustment (enter zero if none)

(continued)



**Table 1. Procurement Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Base Price	Average base price paid for this lot
Adjustments	Average merit-based adjustments (premiums and discounts) paid for this lot (enter zero if none)
Pricing Units	Indicate code for unit of measure for base price and adjustments: 1 = \$ per pound, live weight 2 = \$ per pound, carcass weight 3 = \$ per hundred weight (cwt), live weight 4 = \$ per hundred weight (cwt), carcass weight 5 = \$ per head
Lean Percentage	Average lean percentage for this lot
Back Fat	Average back fat measurement for this lot
Loin Eye Depth	Average loin eye depth for this lot
FFLI	Average Fat Free Lean Index (FFLI) for this lot
Assessed Sort Loss	Number of head in lot discounted due to weight
Standard Weight Range, Lower Limit	Minimum weight allowed before hog price is discounted due to weight
Standard Weight Range, Upper Limit	Maximum weight allowed before hog price is discounted due to weight
Weight Range Units	Indicate code for unit of measure for weight: 1 = Hot weight pounds 2 = Cold weight pounds 3 = Live weight pounds
Branded/Certification	Number of head in this lot that were eligible for branded or certification program
Program Name	Name of branded or certification program(s)

(continued)

**Table 1. Procurement Data Fields (continued)**

Field Name	Description
<i>For each of the fields below, indicate which code applies to the lot.</i>	
Ownership Method	1 = Sole ownership 2 = Joint venture (two or more businesses joining together under a contractual agreement for a specific venture such as use of specific animal genetics or brand names) 3 = Shared ownership (original owner and packer both retain partial ownership of livestock) 4 = Other (ownership method not captured in other categories)
Procurement Method	1 = Auction barns 2 = Video/electronic auctions 3 = Dealers or brokers 4 = Direct trade (cash or spot market transaction between an individual buyer and seller of livestock within 2 weeks of kill date) 5 = Procurement or marketing contract (formal agreement specifying terms for transfer of market hogs using prespecified price or payment formula) 6 = Forward contract (oral or written agreement for the <u>future</u> purchase of a specified quantity of livestock; contract is entered into at any time between placement of livestock on feed and 2 weeks prior to kill date) 7 = Marketing agreement ( <u>long-term</u> oral or written arrangement where a packer agrees to purchase livestock under specific terms) 8 = Packer owned (transfer of packer-owned livestock from company-owned farms) 9 = Other (procurement method not captured in other categories)
Pricing Method	1 = Individually negotiated pricing (negotiations between a buyer and seller, <u>excluding</u> negotiated formula pricing) 2 = Public auction 3 = Sealed bid (price determined by sealed bidding process between multiple buyers and sellers) 4 = Formula pricing (using another price as the base for the purchase of livestock) 5 = Internal transfer (transfer of packer-owned livestock from a finisher to the slaughter plant) 6 = Other (pricing method not captured in other categories)

(continued)

**Table 1. Procurement Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Formula Base	If formula pricing was used, indicate code for base of formula price: 1 = Individual or multiple plant average price 2 = Individual or multiple plant average cost of production 3 = USDA live quote 4 = USDA dressed or carcass quote 5 = USDA boxed pork price 6 = Chicago Mercantile Exchange (CME) lean hog futures 7 = Retail price 8 = Subscription service price (for example, Urner Barry) 9 = Other market price 10 = Other (formula base not captured in other categories)
Valuation Method	1 = Live weight purchase 2 = Carcass weight purchase, NOT dependent on merit 3 = Carcass weight purchase, dependent on merit 4 = Other (valuation method not captured in other categories)

**Table 2. Sales Data Fields**

A transaction record is defined as the sale of a specific type (IMPS or product code) of raw or processed pork product. In other words, each record is an individual line item on the sales invoice. If field is not applicable, enter NA.

Field Name	Description
ID Number	Unique ID number used to identify transaction
Plant Number	FSIS establishment number
Order Date	Date pork product was ordered by buyer (yyyy/mm/dd)
Pack Date	Earliest date pork product was packaged (yyyy/mm/dd)
Ship Date	Date pork product was shipped (yyyy/mm/dd)
Buyer Name	Name of company buying pork product
Buyer City	City location of buyer
Buyer State	State location of buyer
Buyer Zip	Zip code of buyer
Buyer Country	Country of buyer
Buyer Type	Indicate code for buyer type: 1 = Meat processor or food manufacturer 2 = Wholesaler, broker, or distributor 3 = Retailer (grocery store, meat market, warehouse club, mass merchandiser, or other retail establishments located in the United States) 4 = Food service (restaurant, hotel, institution, or other food service establishments located in the United States) 5 = Foreign buyers (foreign distributor, retailer, or food service) 6 = Other
Receiver Name	Name of company receiving pork product (if different from buyer name)
Receiver City	City location of pork product destination
Receiver State	State location of pork product destination
Receiver Zip	Zip code of pork product destination
Receiver Country	Country of pork product destination
IMPS Item Number	IMPS item number that specifies pork product type (if product has an IMPS code)
Product Code	Product code as defined by seller (if defined differently than IMPS code)
Product Name	Pork product name
Product Description	Product description as defined by seller (if not using IMPS codes)
Branded	Indicate code: 1 = Pork product is produced and marketed under a corporate trademark or one of USDA's certified programs (do <u>not</u> include USDA grading) 2 = Pork product is NOT branded
Other Certification	Indicate code: 1 = Pork product has other type of certification (do <u>not</u> include USDA grading) 2 = Pork product does NOT have other type of certification
Program Name	Name of branded or certification program(s)

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**Table 2. Sales Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Product Classification	Indicate code for product classification: 1 = Carcass or side 2 = Primal cut 3 = Subprimal cut 4 = Ground (including trimmings) 5 = Portion cut 6 = Case ready 7 = Processed, ready-to-eat (does NOT require cooking for food safety) 8 = Processed, not-ready-to-eat (requires cooking for food safety)
Product Source	For primal or subprimal cuts, indicate source: 1 = Loin 2 = Picnic 3 = Boston butt 4 = Ham 5 = Spare rib 6 = Belly 7 = Jowl 8 = Other
Trim Level	Indicate code for trim level: 1 = 3/4 inch (19 mm) 2 = 1/4 inch (6 mm) 3 = 1/8 inch (3 mm) 4 = Practically free 5 = Peeled/denuded 6 = Peeled/denuded (surface membrane removed)
Fat Content	Percentage of fat content for ground pork and trimmings
Tenderization	Indicate code: 1 = Pork product was tenderized or marinated 2 = Pork product was NOT tenderized or marinated
Added Ingredients	Indicate code: 1 = Pork product had added ingredients 2 = Pork product did NOT have added ingredients
Refrigeration	Indicate code for state of refrigeration: 1 = Chilled/fresh 2 = Frozen 3 = Other
Packaging	Indicate code for packaging: 1 = Vacuum package 2 = Gas package 3 = Paper 4 = Combination 5 = Other

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**Table 2. Sales Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Total Weight	Total weight of pork product in pounds for this transaction
List Price	Total list price for pork product in this transaction
Gross Price	Total negotiated price for pork product in this transaction
Price Adjustments	Total net value of discounts and premiums provided by packer (given to buyer) for pork product in this transaction (quantity, quality, bundling discounts, etc.) (enter zero if none)
Net Price	Total price paid by buyer for pork product in this transaction
Shipping Cost	Total shipping cost paid by packer for pork product in this transaction (enter zero if cost was not paid by packer)
Commission Cost	Total commission cost paid by packer for pork product in this transaction (enter zero if cost was not paid by packer)

(continued)

**Table 2. Sales Data Fields (continued)**

Field Name	Description
<b><i>For each of the fields below, indicate which code applies to the transaction.</i></b>	
Sales Method	<p>1 = Cash or spot market (selling product directly to a buyer, less than 3 weeks forward, at list or negotiated price including any specified discounts or premiums)</p> <p>2 = Forward contract (oral or written agreement for the <u>future</u> purchase of specified quantity of product at either a fixed or base price)</p> <p>3 = Marketing agreement (<u>long-term</u> oral or written arrangement where a buyer agrees to purchase product under specific terms)</p> <p>4 = Internal company transfer (transfer of product to another business unit owned by same company)</p> <p>5 = Other (sales method not captured in other categories)</p>
Pricing Method	<p>1 = Price list (using seller's price list without negotiation)</p> <p>2 = Individually negotiated pricing (negotiations between a buyer and seller, <u>excluding</u> negotiated formula pricing)</p> <p>3 = Formula pricing (using another price as the base for the sale of product)</p> <p>4 = Sealed bid (price determined by a sealed bidding process between multiple buyers and sellers)</p> <p>5 = Internal transfer (transfer of product to another business unit owned by same company)</p> <p>6 = Other (pricing method not captured in other categories)</p>
Formula Base	<p>If formula pricing was used, indicate code for base of formula price:</p> <p>1 = Individual or multiple plant average price</p> <p>2 = Individual or multiple plant average cost of production</p> <p>3 = USDA publicly reported price</p> <p>4 = Retail price</p> <p>5 = Subscription service price (for example, Urner Barry)</p> <p>6 = Other market price</p> <p>7 = Other (formula base not captured in other categories)</p>

**Table 3. Profit and Loss (P&L) Statement Fields**

Provide your company's standard P&amp;L statement or use the format shown below to provide the data.

Field Name	Production Stage		
	Slaughter	Fabrication	Further Processing
Week Ending (YYYY/MM/DD)			
Hours Scheduled			
Hours Actual			
Head per Hour Scheduled			
Head per Hour Actual			
Pounds per Hour			
Head Slaughtered		—	—
Pounds			
Gross Sales	\$	\$	\$
Less Adjustments	\$	\$	\$
Net Sales	\$	\$	\$
Plus Credits	\$	\$	\$
Total Sales	\$	\$	\$
Livestock Purchases	\$	\$	\$
Net Livestock Transfers	\$	\$	\$
Net Inventory Adjustments	\$	\$	\$
Meat Purchases	\$	\$	\$
Net Meat Transfers	\$	\$	\$
Total Cost of Sales	\$	\$	\$
Gross Margin	\$	\$	\$
Operating Costs			
Labor	\$	\$	\$
Other Variable	\$	\$	\$
Plant	\$	\$	\$
Other Fixed	\$	\$	\$
Total Operating Costs	\$	\$	\$
Other Expenses			
Sales	\$	\$	\$
Procurement	\$	\$	\$
Operations	\$	\$	\$
Bonuses	\$	\$	\$
Miscellaneous	\$	\$	\$
Total Other Expenses	\$	\$	\$



**Figure 1. Transmittal Form**

<b>Transmittal Form</b>		ID No. _____
Date _____		
Establishment no. _____		
Establishment name _____		
Address _____		
City _____	State _____	Zip _____
Company name _____		
Name of individual submitting data _____		
Phone number _____	Fax number _____	E-mail _____
Address _____		
City _____	State _____	Zip _____
<b>Procurement Data Files</b>		
NOTE: Include a description of payment formulas for procurement or marketing contracts (electronic or hard copy)		
File format _____	Number of files _____	
Used specifications in Table 1: YES NO → Provide data dictionary on paper or CD		
File name (include "Purchase" in file name)	Description (for example, time period or other identifying information)	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
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(continued)

**Figure 1. Transmittal Form (continued)**

ID No. _____	
<b>Contract Settlement Data Files</b>	
NOTE: Please include the following items:	
<ul style="list-style-type: none"> <li>▪ Copies of production contracts, including payment formula (electronic or hard copy)</li> <li>▪ Data dictionary for contract settlement data</li> </ul>	
File format _____	Number of files _____
File name (include "Settle" in file name)	Description (for example, time period and contract reference)
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
<b>Data Files for Procurement Data for Weaner and Feeder Pigs</b>	
File format _____	Number of files _____
NOTE: Please provide data dictionary.	
File name (include "W" for weaner or "F" for feeder pig and "Procurement" in file name)	Description (for example, time period or other identifying information)
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
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**Figure 1. Transmittal Form (continued)**

ID No. _____	
<b>Data Files for Production Contracts for Weaner and Feeder Pigs</b>	
NOTE: Please include the following items:	
<ul style="list-style-type: none"> <li>▪ Copies of production contracts, including payment formula (electronic or hard copy)</li> <li>▪ Data dictionary for contract settlement data</li> </ul>	
File format _____	Number of files _____
File name (include "W" for weaner or "F" for feeder pig and "Settle" in file name)	Description (for example, time period and contract reference)
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
<b>Sales Data Files</b>	
File format _____	Number of files _____
Used specifications in Table 2: YES NO → Provide data dictionary on paper or CD	
File name (include "Sale" in file name)	Description (for example, time period and other identifying information)
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
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**Figure 1. Transmittal Form (continued)**

ID No. _____	
<b>P&amp;L Statement Data Files</b>	
File format _____	Number of files _____
File name (include "PL" in file name)	Description (for example, time period)
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
<b>Slaughter and Processing Capacity</b>	
What is your plant's maximum slaughter capacity per week for market hogs? <i>Provide your plant's capacity, <u>not</u> the actual slaughter volume.</i>	
□□□, □□□ head per week	
What is your plant's maximum processing capacity per week for pork products? <i>Provide your plant's capacity, <u>not</u> the actual production volume. If no processing operations, enter zero.</i>	
□□□, □□□, □□□ pounds per week or	
□□□, □□□ head per week	
Page 4 of 4	



United States Department of Agriculture  
**Grain Inspection,  
Packers and Stockyards Administration**

OMB Control No. 0580-0024  
Expiration Date: 10/31/2008

# LIVESTOCK AND MEAT MARKETING STUDY:

## DATA COLLECTION FOR LAMB PACKERS

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0580-0024 and the expiration date is 10/31/2008. The time required to complete this information collection is estimated to average 80 to 120 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

For information about providing the data, please contact:

Justin Taylor  
RTI International  
3040 Cornwallis Road  
P.O. Box 12194  
Research Triangle Park, NC 27709  
Toll-free: (877) 254-1949  
E-mail: [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG)

For general information about the study, please contact:

Roger E. Schneider  
USDA, GIPSA  
14th and Independence Ave SW  
Washington, DC 20250-3647  
Phone: 202-720-7455  
E-mail: [Roger.E.Schneider@usda.gov](mailto:Roger.E.Schneider@usda.gov)

If you have questions regarding your rights as a research participant, you may contact RTI's Office of Research Protection toll-free at 866-214-2043.

# Instructions

The Grain Inspection, Packers and Stockyards Administration (GIPSA) of the U.S. Department of Agriculture (USDA) has contracted with RTI International (RTI)\* to conduct a study of alternative marketing arrangements in the livestock and meat industries. This study, which was funded by Congress, will address the many questions and concerns that have been raised about changes in the structure and business practices in the livestock and meat industries.

The enclosed brochure provides additional information on the study, including the type of analyses that will be conducted and how the study findings will be used. To conduct the study, RTI is collecting data from the largest meat packers, meat processors, food wholesalers, food retailers, food service operators, and meat exporters. One or more of the plants owned by your company was selected to provide data for this study. **Response to this data request is required for meat packers and processors as a special report under the Packers and Stockyards (P&S) Act (7 U.S.C. 222).**

The data are being collected exclusively for statistical purposes consistent with the provisions of the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA) and will be kept completely confidential. Additionally, the data are subject to the confidentiality restrictions in the P&S Act. Your response to the data collection request will not be used as the basis of an investigation or enforcement action against your company. The study findings will be reported to the public only in aggregated form so that individual establishments cannot be identified. Section VII provides additional information on RTI's data security and confidentiality procedures.

Lamb packers are required to provide the following types of data:

- daily transactions data for purchases of lambs
- daily transactions data for sales of lamb products
- weekly profit and loss (P&L) statements

If possible, we ask that you use the suggested file format specifications provided in the instructions in the following sections. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary.

**We ask that you send the requested data by April 14, 2006.** Send electronic data files to RTI. Section VI provides instructions for sending electronic data files to RTI. If you are **unable to provide** the data to RTI in an electronic format, send hard copy data to GIPSA. Section VIII provides instructions for sending hard copy data to GIPSA.

## Questions?

If you have any questions, please send an e-mail to [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG) or call our help line toll-free at (877) 254-1949. We operate the help line on weekdays from 9:00 a.m. to 5:00 p.m. EST.

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\*RTI International is a trade name of Research Triangle Institute.

## I. What is the Time Period for the Data Request?

We ask that you provide the requested data for the 2.5-year period starting October 6, 2002, and ending March 31, 2005. GIPSA sent your company a letter in October 2004 stating that your company would need to retain data for this study.

## II. Which Establishments Must Comply with the Data Request?

Provide the requested data at the establishment (plant) level, *not* the company or firm level. A transmittal form is enclosed for each establishment selected to provide data for the study. If you have any questions about which establishments must provide data, please call our help line.

## III. What Information Needs to Be Provided on Daily Transactions for Purchases of Lambs?

Provide data on purchases of lambs for each transaction. ***A transaction record is defined as the purchase of a pen or lot of lambs.***<sup>1</sup> The dates of the transactions should include October 6, 2002, through March 31, 2005.

Table 1 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 1 (Table1\_Purchase.xls). The file includes two worksheets or tabs. You can use the worksheet "purchase\_data" as a template for preparing the file in the specified format. If you are providing the data in an alternative format, you can use the worksheet "purchase\_dictionary" to prepare the data dictionary.

You can provide the data in one or more files. Please include "Purchase" in the file name for each data file containing data on purchase transactions and a sequential number identifying each file.

## IV. What Information Needs to Be Provided on Daily Transactions for Sales of Lamb Products?

Provide data on sales of lamb products for each transaction. ***A transaction record is defined as the sale of a specific type of raw or processed lamb product based on the Institutional Meat Purchase Specification (IMPS) item numbers or other coding system. In other words, each record is an individual line item on the sales invoice.*** Do not include by-product sales transactions. The dates of the transactions should include October 6, 2002, through March 31, 2005.

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<sup>1</sup> If data are not available at the pen or lot level, provide data for the smallest grouping for which a separate pricing transaction can be identified.



Table 2 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 2 (Table2\_Sales.xls). The file includes two worksheets or tabs. You can use the worksheet "sales\_data" as a template for submitting the data in the specified format. If you are providing the data in an alternative format, you can use the worksheet "sales\_dictionary" to prepare the data dictionary.

You can provide the data in one or more files. Please include "Sale" in the file name for each data file containing data on sales transactions and a sequential number identifying each file.

#### **V. What Information Needs to Be Provided on Profit and Loss (P&L) Statements?**

***We ask that you provide weekly P&L statements for October 6, 2002, through March 31, 2005.*** If your company only produces monthly statements, you can provide monthly statements. Provide your company's standard P&L statements for each production stage operated by this plant (slaughter, fabrication, and further processing). You can provide the data in the format used by your company, or use the format shown in Table 3 to provide the data. The enclosed CD provides a template for providing the data as shown in Table 3 (Table3\_PL.xls). If you use the template, please insert additional lines if needed to include additional detail. If you use the template and your company combines production stages in its P&L statements (for example, slaughter and fabrication), provide the data in the column for the first production stage included (that is, slaughter).

You can provide the data in one or more files. Please include "PL" in the file name for each data file containing P&L statements and a sequential number identifying each file.

#### **VI. How Do I Send Electronic Data Files to RTI?**

Use the enclosed transmittal form(s) (see Figure 1 for an example) to provide the file format and file names for the files being submitted. A separate transmittal form has been provided for each establishment for which your company is required to provide data. For your convenience, information about the establishment and company has been provided on the form. Please write in any necessary corrections to this information, provide the contact information for the individual who is submitting the data, and complete the information on plant capacity.

You may provide the data files in any file format such as ASCII, comma delimited, Microsoft Excel, Microsoft Access, or other nonproprietary format. Copy the files for the purchase data, sales data, and P&L statements onto the CD provided. So that we can verify that the package was not tampered with en route to RTI, we ask that you use the following procedures:

1. Place the CD with the data files in the CD holder. If different file specifications were used, include the data dictionary as an electronic document on the CD or as a paper document.

2. Place the CD holder inside the envelope along with the completed transmittal form(s).
3. Seal the envelope using the seal provided.
4. Place the sealed envelope in the pre-addressed Federal Express box. Only authorized RTI project team members are permitted to break the seal securing the data files.

A Federal Express box, CD, envelope, and seal were provided with this instruction booklet. If you did not receive any of these materials or have misplaced them, please contact the help line and we will send you additional materials. Use the enclosed mailing label or send the data files to Ms. Shawn Karns, RTI International, Hobbs Building, Room 111, 3040 Cornwallis Road, Research Triangle Park, NC, 27709. If you have any questions about how to send the data, please contact our help line (see page 1).

A representative from RTI will notify you by fax or e-mail when the Federal Express box has been received.

## **VII. What Data Security and Confidentiality Procedures Will RTI Use?**

Packages containing electronic data files will be delivered to RTI's Data Security Coordinator for this project. After the package has been logged in, it will be transported to a secure room by a member of the RTI project team. The raw data files will be stored in a locked file cabinet in the secure room, and stand-alone (nonnetwork) work stations in the secure room will be used to work with the establishment-level data files. Only authorized RTI project team members will have access to the secure room.

Only project team members who have signed a nondisclosure agreement with GIPSA and completed data security training will have access to the analysis datasets. Analysis datasets created using the data will not include identifying information such as establishment name, company name, respondent name, and street address. Each establishment will be identified by a unique ID number. The link file (links the ID number to the establishment) will be stored in a locked file cabinet in the secure room. The analysis datasets will be encrypted using encryption software. A passphrase is required to decrypt and access the analysis datasets.

## **VIII. How Do I Send Hard Copy Data to GIPSA?**

If you are **unable to provide** the data to RTI in an electronic format, send hard copy data to GIPSA. If shipping more than one box, please number the boxes (for example, 1 of 2 and 2 of 2). Please provide a description of the data being sent on the transmittal form(s) and include the transmittal form(s) in box 1. Please seal the box using the seal provided.

Send hard copy data to the following address: LMMS Coordinator, Grain Inspection, Packers and Stockyard Administration, 1400 Independence Avenue SW, Room 1642-S, Stop 3647, Washington, DC, 20250. For your convenience, a mailing label is enclosed for sending hard copy data to GIPSA. If you need additional seals or mailing labels, please contact our help line.

**Table 1. Purchase Data Fields**

A transaction record is defined as the purchase of a pen/lot of lambs. If field is not applicable, enter NA.

<b>Field Name</b>	<b>Description</b>
ID Number	Unique ID number used to identify individual lot or transaction
Plant Number	FSIS establishment number
Purchase Date	Date lot of lambs was purchased (yyyy/mm/dd)
Pricing Date	Date price for lot of lambs was determined (yyyy/mm/dd)
Kill Date	Date first lambs in lot were slaughtered (yyyy/mm/dd)
Seller Name	Name of seller (owner of lambs)
Seller ID Number	ID number used by establishment to identify individual seller
Seller City	City location of seller
Seller State	State location of seller
Seller Zip	Zip code of seller
Seller Country	Country of seller
Feedlot Name	Name of person or feedlot that finished lambs (if different from seller name)
Feedlot City	City location of feedlot where lambs were fed
Feedlot State	State location of feedlot where lambs were fed
Feedlot Zip	Zip code of feedlot where lambs were fed
Feedlot Country	Country of feedlot where lambs were fed
Number of Head	Number of live lambs delivered in this lot
Condemn	Number of condemned and dead lambs in this lot
Lambs	Number of lambs in this lot
Mutton	Number of ewes and rams in this lot
Live Weight	Net live or actual purchase weight for this lot (equal to gross live weight minus shrink)
Shrink	Shrink percentage used to calculate purchase weight
Hot Weight	Total hot weight of this lot (carcass weight or dressed weight)
Cold Weight	Total cold weight of this lot (if recorded)
Weight Units	Indicate code for unit of measure for weight: 1 = Pounds 2 = Hundred weight (cwt)
Total Cost	Total delivered cost of this lot (includes base price, adjustments, and all other costs paid by packer; if internal transfer, include value of transfer)
Lamb Cost	Total cost paid by packer for lambs in this lot, including adjustments (premiums and discounts)
Shipping Cost	Total transportation cost paid by packer for this lot (enter zero if cost was not paid by packer)

(continued)

**Table 1. Purchase Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Commission Cost	Total commission cost paid by packer for this lot (enter zero if cost was not paid by packer)
Miscellaneous Costs	Any additional costs paid by packer for this lot; for example, feed, insurance, Lamb Board, other promotional deductions (enter zero if none)
Base Price	Average base price paid for this lot
Adjustments	Average merit-based adjustments (premiums and discounts) paid for this lot (enter zero if none)
Pricing Units	Indicate code for unit of measure for base price and adjustments: 1 = \$ per pound, live weight 2 = \$ per pound, carcass weight 3 = \$ per hundred weight (cwt), live weight 4 = \$ per hundred weight (cwt), carcass weight 5 = \$ per head
Prime	Number of head in this lot that were carcass grade Prime
Choice	Number of head in this lot that were carcass grade Choice
Good	Number of head in this lot that were carcass grade Good
Utility	Number of head in this lot that were carcass grade Utility
Quality Grade Other	Number of head in this lot that were not graded or had a quality grade other than those specified above
Yield Grade 1	Number of head in this lot that were carcass Yield Grade 1
Yield Grade 2	Number of head in this lot that were carcass Yield Grade 2
Yield Grade 3	Number of head in this lot that were carcass Yield Grade 3
Yield Grade 4	Number of head in this lot that were carcass Yield Grade 4
Yield Grade 5	Number of head in this lot that were carcass Yield Grade 5
Yield Grade Other	Number of head in this lot that were not graded or had a yield grade other than those specified above
Heavy Weight	Number of head in this lot that were classified heavy weight
Light Weight	Number of head in this lot that were classified light weight
Standard Weight Range, Lower Limit	Minimum weight allowed before lambs were classified light weight
Standard Weight Range, Upper Limit	Maximum weight allowed before lambs were classified heavy weight
Weight Range Units	Indicate code for unit of measure for standard weight range: 1 = Hot weight pounds 2 = Cold weight pounds 3 = Live weight pounds
Branded/ Certification	Number of head in this lot that were eligible for branded or certification program (include Kosher and Halal)
Program Name	Name of branded or certification program(s)

(continued)

**Table 1. Purchase Data Fields (continued)**

Field Name	Description
<i>For each of the fields below, indicate which code applies to the lot.</i>	
Ownership Method	1 = Sole ownership 2 = Joint venture (two or more businesses joining together under a contractual agreement for a specific venture such as use of specific animal genetics or brand names) 3 = Shared ownership (original owner and packer both retain partial ownership of livestock) 4 = Other (ownership method not captured in other categories)
Purchase Method	1 = Auction barns 2 = Video/electronic auctions 3 = Dealers or brokers 4 = Direct trade (cash or spot market transaction between an individual buyer and seller of livestock within 2 weeks of kill date) 5 = Forward contract (oral or written agreement for the <u>future</u> purchase of a specified quantity of livestock; contract is entered into at any time between placement of livestock on feed and 2 weeks prior to kill date) 6 = Marketing agreement ( <u>long-term</u> oral or written arrangement where a packer agrees to purchase livestock under specific terms) 7 = Packer fed/owned (transfer of packer-owned livestock from either a custom feedlot or packer-owned or controlled feedlot) 8 = Other (purchase method not captured in other categories)
Pricing Method	1 = Individually negotiated pricing (negotiations between a buyer and seller <u>excluding</u> negotiated formula pricing) 2 = Public auction 3 = Sealed bid (price determined by sealed bidding process between multiple buyers and sellers) 4 = Formula pricing (using another price as the base for the purchase of livestock; formula can include grid or non-grid values) 5 = Internal transfer (transfer of packer-owned livestock from a feedlot to the slaughter plant) 6 = Other (pricing method not captured in other categories)
Formula Base	If formula pricing was used, indicate code for base of formula price: 1 = Individual or multiple plant average price 2 = Individual or multiple plant average cost of production 3 = USDA live quote 4 = USDA dressed or carcass quote 5 = USDA cutout value 6 = Retail price 7 = Subscription service price (for example, Urner Barry) 8 = Other market price 9 = Other (formula base not captured in other categories)

(continued)

**Table 1. Purchase Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Valuation Method	1 = Live weight purchase 2 = Carcass weight purchase, NOT dependent on grid value 3 = Carcass weight purchase, dependent on grid value 4 = Other (valuation method not captured in other categories)

**Table 2. Sales Data Fields**

A transaction record is defined as the sale of a specific type (IMPS or product code) of raw or processed lamb product. In other words, each record is an individual line item on the sales invoice. If field is not applicable, enter NA.

Field Name	Description
ID Number	Unique ID number used to identify transaction
Plant Number	FSIS establishment number
Order Date	Date lamb product was ordered by buyer (yyyy/mm/dd)
Pack Date	Earliest date lamb product was packaged (yyyy/mm/dd)
Ship Date	Date lamb product was shipped (yyyy/mm/dd)
Buyer Name	Name of company buying lamb product
Buyer City	City location of buyer
Buyer State	State location of buyer
Buyer Zip	Zip code of buyer
Buyer Country	Country of buyer
Buyer Type	Indicate code for buyer type: 1 = Meat processor or food manufacturer 2 = Wholesaler, broker, or distributor 3 = Retailer (grocery store, meat market, warehouse club, mass merchandiser, or other retail establishments located in the United States) 4 = Food service (restaurant, hotel, institution, or other food service establishments located in the United States) 5 = Foreign buyers (foreign distributor, retailer, or food service) 6 = Other
Receiver Name	Name of company receiving lamb product (if different from buyer name)
Receiver City	City location of lamb destination
Receiver State	State location of lamb product destination
Receiver Zip	Zip code of lamb product destination
Receiver Country	Country of lamb product destination
IMPS Item Number	IMPS item number that specifies lamb product type (if product has an IMPS code)
Product Code	Product code as defined by seller (if defined differently than IMPS code)
Product Name	Lamb product name
Product Description	Product description as defined by seller (if not using IMPS codes)
Branded	Indicate code: 1 = Lamb product is produced and marketed under a corporate trademark or one of USDA's certified programs (do <u>not</u> include USDA grading) 2 = Lamb product is NOT branded
Other Certification	Indicate code: 1 = Lamb product has other type of certification (include Kosher and Halal, do <u>not</u> include USDA grading) 2 = Lamb product does NOT have other type of certification
Program Name	Name of branded or certification program(s)

(continued)

**Table 2. Sales Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Quality Grade	Indicate code for quality grade: 1 = Prime 2 = Choice 3 = Good 4 = Utility 5 = Other
Yield Grade	Indicate code for yield grade: 1 = Yield Grade 1 2 = Yield Grade 2 3 = Yield Grade 3 4 = Yield Grade 4 5 = Yield Grade 5 6 = Other
Product Classification	Indicate code for product classification: 1 = Carcass or saddle 2 = Primal cut 3 = Subprimal cut 4 = Ground (including trimmings) 5 = Portion cut 6 = Case ready 7 = Processed, ready-to-eat (does NOT require cooking for food safety) 8 = Processed, not-ready-to-eat (requires cooking for food safety) 9 = Other
Trim Level	Indicate code for trim level: 1 = 1/4 inch (6 mm) 2 = 1/8 inch (3 mm) 3 = Practically free 4 = Peeled/denuded 5 = Peeled/denuded (surface membrane removed)
Fat Content	Percentage of fat content for ground lamb and trimmings
Tenderization	Indicate code: 1 = Lamb product was tenderized or marinated 2 = Lamb product was NOT tenderized or marinated
Added Ingredients	Indicate code: 1 = Lamb product had added ingredients 2 = Lamb product did NOT have added ingredients
Refrigeration	Indicate code for state of refrigeration: 1 = Chilled/fresh 2 = Frozen 3 = Other

(continued)



**Table 2. Sales Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Packaging	Indicate code for lamb product packaging: 1 = Vacuum package 2 = Gas package 3 = Paper 4 = Combination 5 = Other
Total Weight	Total weight of lamb product in pounds for this transaction
List Price	Total list price for lamb product in this transaction
Gross Price	Total negotiated price for lamb product in this transaction
Discounts	Total value of discounts and premiums provided by packer (given to buyer) for lamb product in this transaction (quantity, quality, bundling discounts, etc.) (enter zero if none)
Net Price	Total price paid by buyer for lamb product in this transaction
Shipping Cost	Total shipping cost paid by packer for lamb product in this transaction (enter zero if cost was not paid by packer)
Commission Cost	Total commission cost paid by packer for lamb product in this transaction (enter zero if cost was not paid by packer)

(continued)

**Table 2. Sales Data Fields (continued)**

Field Name	Description
<b><i>For each of the fields below, indicate which code applies to the transaction.</i></b>	
Sales Method	<p>1 = Cash or spot market (selling product directly to a buyer, less than 3 weeks forward, at list or negotiated price including any specified discounts or premiums)</p> <p>2 = Forward contract (oral or written agreement for the <u>future</u> purchase of specified quantity of product at either a fixed or base price)</p> <p>3 = Marketing agreement (<u>long-term</u> oral or written arrangement where a buyer agrees to purchase product under specific terms)</p> <p>4 = Internal company transfer (transfer of product to another business unit owned by same company)</p> <p>5 = Other (sales method not captured in other categories)</p>
Pricing Method	<p>1 = Price list (using seller's price list without negotiation)</p> <p>2 = Individually negotiated price (negotiations between a buyer and seller, <u>excluding</u> negotiated formula pricing)</p> <p>3 = Formula pricing (using another price as the base for the sale of product)</p> <p>4 = Sealed bid (price determined by a sealed bidding process between multiple buyers and sellers)</p> <p>5 = Internal transfer (transfer of product to another business unit owned by same company)</p> <p>6 = Other (pricing method not captured in other categories)</p>
Formula Base	<p>If formula pricing was used, indicate code for base of formula price:</p> <p>1 = Individual or multiple plant average price</p> <p>2 = Individual or multiple plant average cost of production</p> <p>3 = USDA publicly reported price</p> <p>4 = Retail price</p> <p>5 = Subscription service price (for example, Urner Barry)</p> <p>6 = Other market price</p> <p>7 = Other (formula base not captured in other categories)</p>

**Table 3. Profit and Loss (P&L) Statement Fields**

Provide your company's standard P&amp;L statement or use the format shown below to provide the data.

Field Name	Production Stage		
	Slaughter	Fabrication	Further Processing
Week Ending (YYYY/MM/DD)			
Hours Scheduled			
Hours Actual			
Head per Hour Scheduled			
Head per Hour Actual			
Pounds per Hour			
Head Slaughtered		—	—
Pounds			
Gross Sales	\$	\$	\$
Less Adjustments	\$	\$	\$
Net Sales	\$	\$	\$
Plus Credits	\$	\$	\$
Total Sales	\$	\$	\$
Livestock Purchases	\$	\$	\$
Net Livestock Transfers	\$	\$	\$
Net Inventory Adjustments	\$	\$	\$
Meat Purchases	\$	\$	\$
Net Meat Transfers	\$	\$	\$
Total Cost of Sales	\$	\$	\$
Gross Margin	\$	\$	\$
Operating Costs			
Labor	\$	\$	\$
Other Variable	\$	\$	\$
Plant	\$	\$	\$
Other Fixed	\$	\$	\$
Total Operating Costs	\$	\$	\$
Other Expenses			
Sales	\$	\$	\$
Procurement	\$	\$	\$
Operations	\$	\$	\$
Bonuses	\$	\$	\$
Miscellaneous	\$	\$	\$
Total Other Expenses	\$	\$	\$

**Figure 1. Transmittal Form**

<b>Transmittal Form</b>		ID No. _____
Date _____		
Establishment no. _____		
Establishment name _____		
Address _____		
City _____	State _____	Zip _____
Company name _____		
Name of individual submitting data _____		
Phone number _____	Fax number _____	E-mail _____
Address _____		
City _____	State _____	Zip _____
<b>Purchase Data Files</b>		
File format _____		Number of files _____
Used specifications in Table 1: YES NO → Provide data dictionary on paper or CD		
File name (include "Purchase" in file name)	Description (for example, time period or other identifying information)	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
Page 1 of 3		

(continued)



**Slaughter and Processing Capacity**

What is your plant's maximum slaughter capacity per week for lambs? ***Provide your plant's capacity, not the actual slaughter volume.***

,  head per week

What is your plant's maximum processing capacity per week for lamb products? ***Provide your plant's capacity, not the actual production volume. If no processing operations, enter zero.***

, ,  pounds per week or

,  head per week



United States Department of Agriculture  
**Grain Inspection,  
Packers and Stockyards Administration**

OMB Control No. 0580-0024  
Expiration Date: 10/31/2008

# LIVESTOCK AND MEAT MARKETING STUDY:

# DATA COLLECTION FOR MEAT PROCESSORS

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0580-0024 and the expiration date is 10/31/2008. The time required to complete this information collection is estimated to average 80 to 120 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

For information about providing the data, please contact:

Justin Taylor  
RTI International  
3040 Cornwallis Road  
P.O. Box 12194  
Research Triangle Park, NC 27709  
Toll-free: (877) 254-1949  
E-mail: [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG)

For general information about the study, please contact:

Roger E. Schneider  
USDA, GIPSA  
14th and Independence Ave SW  
Washington, DC 20250-3647  
Phone: 202-720-7455  
E-mail: [Roger.E.Schneider@usda.gov](mailto:Roger.E.Schneider@usda.gov)

If you have questions regarding your rights as a research participant, you may contact RTI's Office of Research Protection toll-free at 866-214-2043.



# Instructions

The Grain Inspection, Packers and Stockyards Administration (GIPSA) of the U.S. Department of Agriculture (USDA) has contracted with RTI International (RTI)\* to conduct a study of alternative marketing arrangements in the livestock and meat industries. This study, which was funded by Congress, will address the many questions and concerns that have been raised about changes in the structure and business practices in the livestock and meat industries.

The enclosed brochure provides additional information on the study, including the type of analyses that will be conducted and how the study findings will be used. To conduct the study, RTI is collecting data from the largest meat packers, meat processors, food wholesalers, food retailers, food service operators, and meat exporters. One or more of the plants owned by your company was selected to provide data for this study. **Response to this data request is required for meat packers and processors as a special report under the Packers and Stockyards (P&S) Act (7 U.S.C. 222).**

The data are being collected exclusively for statistical purposes consistent with the provisions of the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA) and will be kept completely confidential. Additionally, the data are subject to the confidentiality restrictions in the P&S Act. Your response to the data collection request will not be used as the basis of an investigation or enforcement action against your company. The study findings will be reported to the public only in aggregated form so that individual establishments cannot be identified. Section VII provides additional information on RTI's data security and confidentiality procedures.

Meat processors are required to provide the following types of data:

- daily transactions data for purchases of beef, pork, and lamb inputs
- daily transactions data for sales of beef, pork, and lamb products
- weekly profit and loss (P&L) statements

If possible, we ask that you use the suggested file format specifications provided in the instructions in the following sections. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary.

**We ask that you send the requested data by April 14, 2006.** Send electronic data files to RTI. Section VI provides instructions for sending electronic data files to RTI. If you are **unable to provide** the data to RTI in an electronic format, send hard copy data to GIPSA. Section VIII provides instructions for sending hard copy data to GIPSA.

## Questions?

If you have any questions, please send an e-mail to [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG) or call our help line toll-free at (877) 254-1949. We operate the help line on weekdays from 9:00 a.m. to 5:00 p.m. EST.

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\*RTI International is a trade name of Research Triangle Institute.

## **I. What is the Time Period for the Data Request?**

We ask that you provide the requested data for the 2.5-year period starting October 6, 2002, and ending March 31, 2005. GIPSA sent your company a letter in October 2004 stating that your company would need to retain data for this study.

## **II. Which Establishments Must Comply with the Data Request?**

Provide the requested data at the establishment (plant) level, *not* the company or firm level. A transmittal form is enclosed for each establishment selected to provide data for the study. If you have any questions about which establishments must provide data, please call our help line.

## **III. What Information Needs to Be Provided on Daily Transactions for Purchases of Meat Inputs?**

Provide data on purchases of beef, pork, and lamb inputs for each transaction. Do not include by-product purchase transactions. ***A transaction record is defined as the purchase of a specific type of raw or processed meat product based on the Institutional Meat Purchase Specification (IMPS) item numbers or other coding system. In other words, each record is an individual line item on the sales invoice.*** The dates of the transactions should include October 6, 2002, through March 31, 2005.

Table 1 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 1 (Table1\_Purchase.xls). The file includes two worksheets or tabs. You can use the worksheet "purchase\_data" as a template for preparing the file in the specified format. If you are providing the data in an alternative format, you can use the worksheet "purchase\_dictionary" to prepare the data dictionary.

You can provide the data in one or more files. Please include "Purchase" in the file name for each data file containing data on purchase transactions and a sequential number identifying each file.

## **IV. What Information Needs to Be Provided on Daily Transactions for Sales of Meat Products?**

Provide data on sales of beef, pork, and lamb products for each transaction. Do not include by-product sales transactions. ***A transaction record is defined as the sale of a specific type of raw or processed meat product based on the Institutional Meat Purchase Specification (IMPS) item numbers or other coding system. In other words, each record is an individual line item on the sales invoice.*** The dates of the transactions

should include October 6, 2002, through March 31, 2005. ***Only provide information on transactions for meat products that contain at least 50 percent meat by weight.***

Table 2 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 2 (Table2\_Sales.xls). The file includes two worksheets or tabs. You can use the worksheet "sales\_data" as a template for submitting the data in the specified format. If you are providing the data in an alternative format, you can use the worksheet "sales\_dictionary" to prepare the data dictionary.

You can provide the data in one or more files. Please include "Sale" in the file name for each data file containing data on sales transactions and a sequential number identifying each file.

#### **V. What Information Needs to Be Provided on Profit and Loss (P&L) Statements?**

***We ask that you provide weekly P&L statements for October 6, 2002, through March 31, 2005.*** If your company only produces monthly statements, you can provide monthly statements. Provide your company's standard P&L statements for each production stage operated by this plant. You can provide the data in the format used by your company, or use the format shown in Table 3 to provide the data. The enclosed CD provides a template for providing the data as shown in Table 3 (Table3\_PL.xls). If you use the template, please insert additional lines if needed to include additional detail.

You can provide the data in one or more files. Please include "PL" in the file name for each data file containing P&L statements and a sequential number identifying each file.

#### **VI. How Do I Send Electronic Data Files to RTI?**

Use the enclosed transmittal form(s) (see Figure 1 for an example) to provide the file format and file names for the files being submitted. A separate transmittal form has been provided for each establishment for which your company is required to provide data. For your convenience, information about the establishment and company has been provided on the form. Please write in any necessary corrections to this information, provide the contact information for the individual who is submitting the data, and complete the information on plant capacity.

You may provide the data files in any file format such as ASCII, comma delimited, Microsoft Excel, Microsoft Access, or other nonproprietary format. Copy the files for the purchase data, sales data, and P&L statements onto the CD provided. So that we can verify that the

package was not tampered with en route to RTI, we ask that you use the following procedures:

1. Place the CD with the data files in the CD holder. If different file specifications were used, include the data dictionary as an electronic document on the CD or as a paper document.
2. Place the CD holder inside the envelope along with the completed transmittal form(s).
3. Seal the envelope using the seal provided.
4. Place the sealed envelope in the pre-addressed Federal Express box. Only authorized RTI project team members are permitted to break the seal securing the data files.

A Federal Express box, CD, envelope, and seal were provided with this instruction booklet. If you did not receive any of these materials or have misplaced them, please contact the help line and we will send you additional materials. Use the enclosed mailing label or send the data files to Ms. Shawn Karns, RTI International, Hobbs Building, Room 111, 3040 Cornwallis Road, Research Triangle Park, NC, 27709. If you have any questions about how to send the data, please contact our help line (see page 1).

A representative from RTI will notify you by fax or e-mail when the Federal Express box has been received.

#### **VII. What Data Security and Confidentiality Procedures Will RTI Use?**

Packages containing electronic data files will be delivered to RTI's Data Security Coordinator for this project. After the package has been logged in, it will be transported to a secure room by a member of the RTI project team. The raw data files will be stored in a locked file cabinet in the secure room, and stand-alone (nonnetwork) work stations in the secure room will be used to work with the establishment-level data files. Only authorized RTI project team members will have access to the secure room.

Only project team members who have signed a nondisclosure agreement with GIPSA and completed data security training will have access to the analysis datasets. Analysis datasets created using the data will not include identifying information such as establishment name, company name, respondent name, and street address. Each establishment will be identified by a unique ID number. The link file (links the ID number to the establishment) will be stored in a locked file cabinet in the secure room. The analysis datasets will be encrypted using encryption software. A passphrase is required to decrypt and access the analysis datasets.

#### **VIII. How Do I Send Hard Copy Data to GIPSA?**

If you are **unable to provide** the data to RTI in an electronic format, send hard copy data to GIPSA. If shipping more than one box, please number the boxes (for example, 1 of 2 and 2 of 2). Please provide a description of the data being sent on the transmittal form(s) and include the transmittal form(s) in box 1. Please seal the box using the seal provided.

Send hard copy data to the following address: LMMS Coordinator, Grain Inspection, Packers and Stockyard Administration, 1400 Independence Avenue SW, Room 1642-S, Stop 3647, Washington, DC, 20250. For your convenience, a mailing label is enclosed for sending hard copy data to GIPSA. If you need additional seals or mailing labels, please contact our help line.

**Table 1. Purchase Data Fields**

A transaction record is defined as the purchase of a specific type (IMPS or product code) of raw or processed meat. In other words, each record is an individual line item on the sales invoice. If field is not applicable, enter NA.

Field Name	Description
ID Number	Unique ID number used to identify transaction
Plant Number	FSIS establishment number
Order Date	Date meat product was ordered by buyer (yyyy/mm/dd)
Arrival Date	Date meat product arrived from seller (yyyy/mm/dd)
Fabrication Date	Earliest date meat product was fabricated or processed by seller (yyyy/mm/dd)
Seller Name	Name of company selling meat product
Seller ID Number	ID number used by establishment to identify individual seller
Seller City	City location for seller
Seller State	State location for seller
Seller Zip	Zip code for seller
Seller Country	Country for seller
Plant Name	Name of plant where meat product was fabricated or processed (if different from seller name)
Plant City	City location where meat product was fabricated or processed
Plant State	State location where meat product was fabricated or processed
Plant Zip	Zip code where meat product was fabricated or processed
Plant Country	Country where meat product was fabricated or processed
IMPS Item Number	IMPS item number that specifies meat product type (if product has an IMPS code)
Product Code	Product code as defined by seller (if defined differently than IMPS code)
Product Name	Meat product name
Product Description	Product description as defined by seller (if not using IMPS codes)
Branded	Indicate code: 1 = Meat product is produced and marketed under a corporate trademark or one of USDA's certified programs (do <u>not</u> include USDA grading) 2 = Meat product is NOT branded
Certification	Indicate code: 1 = Meat product has other type of certification (include Kosher and Halal, do <u>not</u> include USDA grading) 2 = Meat product does NOT have other type of certification
Program Name	Name of branded or certification program(s)

(continued)

**Table 1. Purchase Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
<b>Beef</b>	Indicate code: 1 = Meat product was predominantly beef 2 = Meat product was NOT predominantly beef
Beef Product Type	Indicate code for product type: 1 = Carcass or side 2 = Primal cut 3 = Subprimal cut 4 = Ground (including trimmings) 5 = Portion cut 6 = Case ready 7 = Processed, ready-to-eat (does NOT require cooking for food safety) 8 = Processed, not-ready-to-eat (requires cooking for food safety) 9 = Other
Beef Quality Grade	Indicate code for quality grade: 1 = Prime 2 = Choice 3 = Upper 2/3 Choice 4 = Lower 1/3 Choice 5 = Select 6 = Other quality grade or not graded
Beef Yield Grade	Indicate code for yield grade: 1 = Yield Grade 1 2 = Yield Grade 2 3 = Yield Grade 3 4 = Yield Grade 4 5 = Yield Grade 5 6 = Other yield grade or not graded
Beef Trim Level	Indicate code for trim level: 1 = 3/4 inch (19 mm) 2 = 1/4 inch (6 mm) 3 = 1/8 inch (3 mm) 4 = Practically free 5 = Peeled/denuded 6 = Peeled/denuded (surface membrane removed)
Beef Fat Content	Percentage of fat content for ground beef and trimmings

(continued)

**Table 1. Purchase Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
<b>Pork</b>	Indicate code: 1 = Meat product was predominantly pork 2 = Meat product was NOT predominantly pork
Pork Product Type	Indicate code for product type: 1 = Carcass or side 2 = Primal cut 3 = Subprimal cut 4 = Ground (including trimmings) 5 = Portion cut 6 = Case ready 7 = Processed, ready-to-eat (does NOT require cooking for food safety) 8 = Processed, not-ready-to-eat (requires cooking for food safety) 9 = Other
Pork Trim Level	Indicate code for trim level: 1 = 3/4 inch (19 mm) 2 = 1/4 inch (6 mm) 3 = 1/8 inch (3 mm) 4 = Practically free 5 = Peeled/denuded 6 = Peeled/denuded (surface membrane removed)
Pork Fat Content	Percentage of fat content for ground pork and trimmings
<b>Lamb</b>	Indicate code: 1 = Meat product was predominantly lamb 2 = Meat product was NOT predominantly lamb
Lamb Product Type	Indicate code for product type: 1 = Carcass or saddle 2 = Primal cut 3 = Subprimal cut 4 = Ground (including trimmings) 5 = Portion cut 6 = Case ready 7 = Processed, ready-to-eat (does NOT require cooking for food safety) 8 = Processed, not-ready-to-eat (requires cooking for food safety) 9 = Other

(continued)



**Table 1. Purchase Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Lamb Quality Grade	Indicate code for quality grade: 1 = Prime 2 = Choice 3 = Good 4 = Utility 5 = Other quality grade or not graded
Lamb Yield Grade	Indicate code for yield grade: 1 = Yield Grade 1 2 = Yield Grade 2 3 = Yield Grade 3 4 = Yield Grade 4 5 = Yield Grade 5 6 = Other yield grade or not graded
Lamb Trim Level	Indicate code for trim level: 1 = 1/4 inch (6 mm) 2 = 1/8 inch (3 mm) 3 = Practically free 4 = Peeled/denuded 5 = Peeled/denuded (surface membrane removed)
Lamb Fat Content	Percentage of fat content for ground lamb and trimmings
Tenderization	Indicate code: 1 = Meat product was tenderized or marinated 2 = Meat product was NOT tenderized or marinated
Added Ingredients	Indicate code: 1 = Meat product had added ingredients 2 = Meat product did NOT have added ingredients
Refrigeration	Indicate code for state of refrigeration: 1 = Chilled/fresh 2 = Frozen 3 = Other
Packaging	Indicate code for packaging: 1 = Vacuum package 2 = Gas package 3 = Paper 4 = Combination 5 = Other

(continued)

**Table 1. Purchase Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Total Weight	Total weight of meat product in pounds for this transaction
Total Cost	Total delivered cost of this transaction (including shipping and any miscellaneous costs paid by buyer)
Meat Cost	Total cost paid by processor for meat product in this transaction, including discounts and premiums
Shipping Cost	Total shipping cost paid by processor for meat product in this transaction (enter zero if cost was not paid by processor)
Miscellaneous Cost	Any additional costs paid by processor for this transaction (enter zero if none)

(continued)

**Table 1. Purchase Data Fields (continued)**

Field Name	Description
<i>For each of the fields below, indicate which code applies to the transaction.</i>	
Ownership Method	1 = Sole ownership 2 = Joint venture (your business and one or more other businesses joining together under a contractual agreement for a specific venture such as use of specific brand names) 3 = Shared ownership (original owner and your business both retain partial ownership of product) 4 = Other (ownership method not captured in other categories)
Purchase Method	1 = Cash or spot market (purchasing product directly from seller, less than 3 weeks forward, at list or negotiated price including any specified discounts or premiums) 2 = Forward contract (oral or written agreement for the <u>future</u> purchase of a specified quantity of product at either a fixed or base price) 3 = Marketing agreement ( <u>long-term</u> oral or written arrangement where a buyer agrees to purchase product under specific terms) 4 = Internal company transfer (transfer of product from another business unit owned by same company) 5 = Other (purchase method not captured in other categories)
Pricing Method	1 = Price list (using seller's price list without negotiation) 2 = Individually negotiated pricing (negotiations between a buyer and seller, <u>excluding</u> negotiated formula pricing) 3 = Formula pricing (using another price as the base for the sale of product) 4 = Sealed bid (price determined by a sealed bidding process between multiple buyers and sellers) 5 = Internal transfer (transfer of product from another business unit owned by same company) 6 = Other (pricing method not captured in other categories)
Formula Base	If formula pricing was used, indicate code for base of formula price: 1 = Individual or multiple plant average price 2 = Individual or multiple plant average cost of production 3 = USDA publicly reported price 4 = Retail price 5 = Subscription service price (for example, Urner Barry) 6 = Other market price 7 = Other (formula base not captured in other categories)

**Table 2. Sales Data Fields**

A transaction record is defined as the sale of a specific type (IMPS or product code) of raw or processed meat containing at least 50 percent meat by weight. In other words, each record is an individual line item on the sales invoice. If field is not applicable, enter NA.

Field Name	Description
ID Number	Unique ID number used to identify transaction
Plant Number	FSIS establishment number
Order Date	Date meat product was ordered by buyer (yyyy/mm/dd)
Pack Date	Earliest date meat product was packaged (yyyy/mm/dd)
Ship Date	Date meat product was shipped (yyyy/mm/dd)
Buyer Name	Name of company buying meat product
Buyer City	City location of buyer
Buyer State	State location of buyer
Buyer Zip	Zip code of buyer
Buyer Country	Country of buyer
Buyer Type	Indicate code for buyer type: 1 = Meat processor or food manufacturer 2 = Wholesaler, broker, or distributor 3 = Retailer (grocery store, meat market, warehouse club, mass merchandiser, or other retail establishments located in the United States) 4 = Food service (restaurant, hotel, institution or other food service establishments located in the United States) 5 = Foreign buyers (foreign distributor, retailer, or food service) 6 = Other
Receiver Name	Name of company receiving meat product (if different from buyer name)
Receiver City	City location of meat product destination
Receiver State	State location of meat product destination
Receiver Zip	Zip code of meat product destination
Receiver Country	Country of meat product destination
IMPS Item Number	IMPS item number that specifies meat product type (if product has an IMPS code)
Product Code	Product code as defined by seller (if defined differently than IMPS code)
Product Name	Meat product name
Product Description	Product description as defined by seller (if not using IMPS codes)
Branded	Indicate code: 1 = Meat product is produced and marketed under a corporate trademark or one of USDA's certified programs (do <u>not</u> include USDA grading) 2 = Meat product is NOT branded
Other Certification	Indicate code: 1 = Meat product has other type of certification (include Kosher and Halal, do <u>not</u> include USDA grading) 2 = Meat product does NOT have other type of certification
Program Name	Name of branded or certification program(s)

(continued)

**Table 2. Sales Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
<b>Beef</b>	Indicate code: 1 = Meat product was predominantly beef 2 = Meat product was NOT predominantly beef
Beef Product Type	Indicate code for product type: 1 = Primal cut 2 = Subprimal cut 3 = Ground (including trimmings) 4 = Portion cut 5 = Case ready 6 = Processed, ready-to-eat (does NOT require cooking for food safety) 7 = Processed, not-ready-to-eat (requires cooking for food safety) 8 = Other
Beef Quality Grade	Indicate code for quality grade: 1 = Prime 2 = Choice 3 = Upper 2/3 Choice 4 = Lower 1/3 Choice 5 = Select 6 = Other quality grade or not graded
Beef Trim Level	Indicate code for trim level: 1 = 3/4 inch (19 mm) 2 = 1/4 inch (6 mm) 3 = 1/8 inch (3 mm) 4 = Practically free 5 = Peeled/denuded 6 = Peeled/denuded (surface membrane removed)
Beef Fat Content	Percentage of fat content for ground beef and trimmings
<b>Pork</b>	Indicate code: 1 = Meat product was predominantly pork 2 = Meat product was NOT predominantly pork
Pork Product Type	Indicate code for product type: 1 = Primal cut 2 = Subprimal cut 3 = Ground (including trimmings) 4 = Portion cut 5 = Case ready 6 = Processed, ready-to-eat (does NOT require cooking for food safety) 7 = Processed, not-ready-to-eat (requires cooking for food safety) 8 = Other

(continued)

**Table 2. Sales Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Pork Trim Level	Indicate code for trim level: 1 = 3/4 inch (19 mm) 2 = 1/4 inch (6 mm) 3 = 1/8 inch (3 mm) 4 = Practically free 5 = Peeled/denuded 6 = Peeled/denuded (surface membrane removed)
Pork Fat Content	Percentage of fat content for ground pork and trimmings
<b>Lamb</b>	Indicate code: 1 = Meat product was predominantly lamb 2 = Meat product was NOT predominantly lamb
Lamb Product Type	Indicate code for product type: 1 = Primal cut 2 = Subprimal cut 3 = Ground (including trimmings) 4 = Portion cut 5 = Case ready 6 = Processed, ready-to-eat (does NOT require cooking for food safety) 7 = Processed, not-ready-to-eat (requires cooking for food safety) 8 = Other
Lamb Quality Grade	Indicate code for quality grade: 1 = Prime 2 = Choice 3 = Good 4 = Utility 5 = Other quality grade or not graded
Lamb Trim Level	Indicate code for trim level: 1 = 1/4 inch (6 mm) 2 = 1/8 inch (3 mm) 3 = Practically free 4 = Peeled/denuded 5 = Peeled/denuded (surface membrane removed)
Lamb Fat Content	Percentage of fat content for ground lamb and trimmings

(continued)

**Table 2. Sales Data Fields (continued)**

<b>Field Name</b>	<b>Description</b>
Tenderization	Indicate code: 1 = Meat product was tenderized or marinated 2 = Meat product was NOT tenderized or marinated
Added Ingredients	Indicate code: 1 = Meat product had added ingredients 2 = Meat product did NOT have added ingredients
Refrigeration	Indicate code for state of refrigeration: 1 = Chilled/fresh 2 = Frozen 3 = Other
Packaging	Indicate code for packaging: 1 = Vacuum package 2 = Gas package 3 = Paper 4 = Combination 5 = Other
Total Weight	Total weight of meat product in pounds for this transaction
List Price	Total list price for meat product in this transaction
Gross Price	Total negotiated price for meat product in this transaction
Price Adjustments	Total net value of discounts and premiums provided by processor (given to buyer) for meat product in this transaction (quantity, quality, bundling discounts, etc.) (enter zero if none)
Net Price	Total price paid by buyer for meat product in this transaction
Shipping Cost	Total shipping cost paid by processor for meat product in this transaction (enter zero if cost not paid by processor)
Commission Cost	Total commission cost paid by processor for meat product in this transaction (enter zero if cost not paid by processor)

(continued)

**Table 2. Sales Data Fields (continued)**

Field Name	Description
<b><i>For each of the fields below, indicate which code applies to the transaction.</i></b>	
Sales Method	<p>1 = Cash or spot market (selling product directly to buyer, less than 3 weeks forward, at list or negotiated price including any specified discounts or premiums)</p> <p>2 = Forward contract (oral or written agreement for the <u>future</u> purchase of a specified quantity of product at either a fixed or base price)</p> <p>3 = Marketing agreement (<u>long-term</u> oral or written arrangement where a buyer agrees to purchase product under specific terms, including preferred vendor programs)</p> <p>4 = Internal company transfer (transfer of product to another business unit owned by same company)</p> <p>5 = Other (sales method not captured in other categories)</p>
Pricing Method	<p>1 = Price list (using seller's price list without negotiation)</p> <p>2 = Individually negotiated price (negotiations between a buyer and seller, <u>excluding</u> negotiated formula pricing)</p> <p>3 = Formula pricing (using another price as the base for the sale of product)</p> <p>4 = Sealed bid (price determined by a sealed bidding process between multiple buyers and sellers)</p> <p>5 = Internal transfer (transfer of product to another business unit owned by same company)</p> <p>6 = Other (pricing method not captured in other categories)</p>
Formula Base	<p>If formula pricing was used, indicate code for base of formula price:</p> <p>1 = Individual or multiple plant average price</p> <p>2 = Individual or multiple plant average cost of production</p> <p>3 = USDA publicly reported price</p> <p>4 = Retail price</p> <p>5 = Subscription service price (for example, Urner Barry)</p> <p>6 = Other market price</p> <p>7 = Other (formula base not captured in other categories)</p>



**Table 3. Profit and Loss (P&L) Statement Fields**

Provide your company's standard P&amp;L statement or use the format shown below to provide the data.

Field Name	Production Stage	
	Fabrication	Further Processing
Week Ending (YYYY/MM/DD)		
Hours Scheduled		
Hours Actual		
Head per Hour Scheduled		
Head per Hour Actual		
Pounds per Hour		
Pounds		
Gross Sales	\$	\$
Less Adjustments	\$	\$
Net Sales	\$	\$
Plus Credits	\$	\$
Total Sales	\$	\$
Net Inventory Adjustments	\$	\$
Meat Purchases	\$	\$
Net Meat Transfers	\$	\$
Total Cost of Sales	\$	\$
Gross Margin	\$	\$
Operating Costs		
Labor	\$	\$
Other Variable	\$	\$
Plant	\$	\$
Other Fixed	\$	\$
Total Operating Costs	\$	\$
Other Expenses		
Sales	\$	\$
Procurement	\$	\$
Operations	\$	\$
Bonuses	\$	\$
Miscellaneous	\$	\$
Total Other Expenses	\$	\$

**Figure 1. Transmittal Form**

<b>Transmittal Form</b>		ID No. _____
Date _____		
Establishment no. _____		
Establishment name _____		
Address _____		
City _____ State _____ Zip _____		
Company name _____		
Name of individual submitting data _____		
Phone number _____ Fax number _____ E-mail _____		
Address _____		
City _____ State _____ Zip _____		
<b>Purchase Data Files</b>		
File format _____ Number of files _____		
Used specifications in Table 1: YES NO → Provide data dictionary on paper or CD		
File name (include "Purchase" in file name)	Description (for example, time period or other identifying information)	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
Page 1 of 2		

(continued)

**Figure 1. Transmittal Form (continued)**

<b>Sales Data Files</b>		ID No. _____
File format _____ Number of files _____		
Used specifications in Table 2: YES NO → Provide data dictionary on paper or CD		
File name (include "Sale" in file name)	Description (for example, time period or other identifying information)	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
<b>P&amp;L Statement Data Files</b>		
File format _____ Number of files _____		
File name (include "PL" in file name)	Description (for example, time period)	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
<b>Processing Capacity</b>		
What is your plant's maximum processing capacity per week for beef, pork, and lamb products? <b><i>Provide your plant's capacity, <u>not</u> the actual production volume.</i></b>		
□□□, □□□, □□□ pounds per week		
Page 2 of 2		





United States Department of Agriculture

Grain Inspection,  
Packers and Stockyards Administration

OMB Control No. 0580-0024

Expiration Date: 10/31/2008

# Livestock and Meat Marketing Study: Data Collection for Food Wholesalers

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0580-0024 and the expiration date is 10/31/2008. The time required to complete this information collection is estimated to average 24 to 40 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

For information about providing the data, please contact:

Justin Taylor  
RTI International  
3040 Cornwallis Road  
P.O. Box 12194  
Research Triangle Park, NC 27709  
Toll-free: (877) 254-1949  
E-mail: [USDAstudy@rti.org](mailto:USDAstudy@rti.org)

For general information about the study, please contact:

Roger E. Schneider  
USDA, GIPSA  
14th and Independence Ave SW  
Washington, DC 20250-3647  
Phone: 202-720-7455  
E-mail: [Roger.E.Schneider@usda.gov](mailto:Roger.E.Schneider@usda.gov)

If you have questions regarding your rights as a research participant, you may contact RTI's Office of Research Protection toll-free at 866-214-2043.

# Instructions

The Grain Inspection, Packers and Stockyards Administration (GIPSA) of the U.S. Department of Agriculture (USDA) has contracted with RTI International (RTI)\* to conduct a study of alternative marketing arrangements in the livestock and meat industries. This study, which was funded by Congress, will address the many questions and concerns that have been raised about changes in the structure and business practices in the livestock and meat industries.

The enclosed brochure provides additional information on the study, including the type of analyses that will be conducted and how the study findings will be used. To conduct the study, RTI is collecting data from the largest meat packers, meat processors, food wholesalers, food retailers, food service operators, and meat exporters. Your company was selected to provide data for this study.

The data are being collected exclusively for statistical purposes consistent with the provisions of the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA) and will be kept completely confidential. Your response to the data collection request will not be used as the basis of an investigation or enforcement action against your company. The study findings will be reported to the public only in aggregated form so that individual companies cannot be identified. Section V provides additional information on RTI's data security and confidentiality procedures.

The following types of data are being requested from food wholesalers and brokers:

- weekly summaries of purchases and receipts of beef, pork, and lamb products
- weekly summaries of sales and transfers of beef, pork, and lamb products

If possible, we ask that you use the suggested file format specifications provided in the instructions in the following sections. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary.

***We ask that you send the requested data by April 14, 2006.*** Send electronic data files to RTI. Section IV provides instructions for sending electronic data files to RTI. If you are ***unable to provide*** the data to RTI in an electronic format, send hard copy data to GIPSA. Section VI provides instructions for sending hard copy data to GIPSA.

## Questions?

If you have any questions, please send an e-mail to [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG) or call our help line toll-free at (877) 254-1949. We operate the help line on weekdays from 9:00 a.m. to 5:00 p.m. EST.

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\*RTI International is a trade name of Research Triangle Institute.

## I. What Is the Time Period for the Data Request?

We ask that you provide the requested data for the 2.5-year period starting October 6, 2002, and ending March 31, 2005.

## II. What Information Needs to Be Provided on Purchases and Receipts of Meat Products?

Provide weekly summaries of purchases and receipts of meat products (beef, pork, and lamb) for the period October 6, 2002, through March 31, 2005. ***Only include information on products that contain at least 50 percent meat by weight. Do not include by-product purchase transactions. If your company purchases more than one type of meat, provide separate data files for each type of meat.***

Table 1 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 1 (Table1\_Purchase.xls). The file includes two worksheets or tabs. You can use the worksheet "purchase\_data" as a template for preparing the file in the specified format. If you are providing the data in an alternative format, you can use the worksheet "purchase\_dictionary" to prepare the data dictionary.

Please include "Purchase" and the type of meat (beef, pork, or lamb) in the file name for each data file and a sequential number identifying each file.

## III. What Information Needs to Be Provided on Sales and Transfers of Meat Products?

Provide weekly summaries of sales and transfers of meat products (beef, pork, and lamb) for the period October 6, 2002, through March 31, 2005. ***Only include information on products that contain at least 50 percent meat by weight. Do not include by-product sales transactions. If your company sells more than one type of meat, provide separate data files for each type of meat.***

Table 2 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 2 (Table2\_Sales.xls). The file includes two worksheets or tabs. You can use the worksheet "sales\_data" as a template for submitting the data in



the specified format. If you are providing the data in an alternative format, you can use the worksheet "sales\_dictionary" to prepare the data dictionary.

Please include "Sale" and the type of meat (beef, pork, or lamb) in the file name for each data file and a sequential number identifying each file.

#### **IV. How Do I Send Electronic Data Files to RTI?**

Use the enclosed transmittal form (see Figure 1 for an example) to provide the file format and file names for the files being submitted. For your convenience, information about your company has been provided on the form. Please write in any necessary corrections to this information and provide the contact information for the individual who is submitting the data.

You may provide the data files in any file format such as ASCII, comma delimited, Microsoft Excel, Microsoft Access, or other nonproprietary format. Copy the files for the purchase and sales data onto the CD provided. So that we can verify that the package was not tampered with en route to RTI, we ask that you use the following procedures:

1. Place the CD with the data files in the CD holder. If different file specifications were used, include the data dictionary as an electronic document on the CD or as a paper document.
2. Place the CD holder inside the envelope along with the completed transmittal form.
3. Seal the envelope using the seal provided.
4. Place the sealed envelope in the pre-addressed Federal Express box. Only authorized RTI project team members are permitted to break the seal securing the data files.

A Federal Express box, CD, envelope, and seal were provided with this instruction booklet. If you did not receive any of these materials or have misplaced them, please contact the help line and we will send you additional materials. Use the enclosed mailing label or send the data files to Ms. Shawn Karns, RTI International, Hobbs Building, Room 111, 3040 Cornwallis Road, Research Triangle Park, NC, 27709. If you have any questions about how to send the data, please contact our help line (see page 1).

A representative from RTI will notify you by fax or e-mail when the Federal Express box has been received.

#### **V. What Data Security and Confidentiality Procedures Will RTI Use?**

Packages containing electronic data files will be delivered to the Data Security Coordinator at RTI for this project. After the package has been logged in, it will be transported to a secure room by a member of the RTI project team. The raw data files will be stored in a locked file cabinet in the secure room, and stand-alone (nonnetwork) work stations in the secure room will be used to work with the company-level data files. Only authorized RTI project team members will have access to the secure room.

Only project team members who have signed a nondisclosure agreement with GIPSA and completed data security training will have access to the analysis datasets. Analysis datasets created using the data will not include identifying information such as company name, respondent name, and street address. Each company will be identified by a unique ID number. The link file (links the ID number to the company) will be stored in a locked file cabinet in the secure room. The analysis datasets will be encrypted using encryption software. A passphrase is required to decrypt and access the analysis datasets.

#### **VI. How Do I Send Hard Copy Data to GIPSA?**

If you are ***unable to provide*** the data to RTI in an electronic format, send hard copy data to GIPSA. Please provide a description of the data being sent on the transmittal form and include the transmittal form in the package. Please seal the package using the seal provided.

Send hard copy data to the following address: LMMS Coordinator, Grain Inspection, Packers and Stockyard Administration, 1400 Independence Avenue SW, Room 1642-S, Stop 3647, Washington, DC, 20250. For your convenience, a mailing label is enclosed for sending hard copy data to GIPSA. If you need additional seals or mailing labels, please contact our help line.

**Table 1. Purchase Data Fields—Provide Separate Files for Beef, Pork, and Lamb Products**

A record is defined as the purchase or receipt of meat products during a week. If field is not applicable, enter NA.

<b>Field Name</b>	<b>Description</b>
ID Number	ID number to identify record in the file
Week	Week for meat product purchases, week ending or week beginning (yyyy/mm/dd)
Company Name	Name of company purchasing beef, pork, or lamb products
Value	Total dollar value of purchases for the meat type
Weight	Total weight of purchases for the meat type (pounds)
Source	Percentage of total dollar value of meat purchases from U.S. sources for the meat type
Brand	Percentage of total dollar value of meat purchases with a national or regional brand label for the meat type
<b>Product Type</b>	[For each meat type, provide percentage of total dollar value of meat purchases by product type. Total for each record should sum to 100 percent.]
Fresh or Frozen	Chilled or frozen whole muscle cuts or ground (including trimmings)
Processed	Products that have received processing beyond grinding
Other Product	Product type other than those specified above
<b>Purchase Method</b>	[For each meat type, provide percentage of total dollar value of meat purchases by purchase method. Total for each record should sum to 100 percent.]
Cash or Spot Market	Purchasing product directly from seller, less than 3 weeks forward, at list or negotiated price including any specified discounts or premiums
Forward Contract	Oral or written agreement between buyer and seller for the <u>future</u> purchase of a specified quantity of product at either a fixed or base price
Marketing Agreement	<u>Long-term</u> oral or written arrangement where buyer agrees to purchase product under specific terms, including preferred vendor programs
Internal Company Transfer	Transfer of product from another business unit owned by same company
Other Purchase	Purchase method other than those specified above
<b>Pricing Method</b>	[For each meat type, provide percentage of total dollar value of meat purchases by pricing method (method used for individual transactions). Total for each record should sum to 100 percent.]
Flat Pricing	Buyer and seller agree to a specific dollar per pound for a specified time period
Formula Pricing	Using another price as the base for the purchase of product
Or-Better Pricing	Buyer and seller agree to a specific dollar per pound for a specified time period; however, if the market price decreases over the time period, then the purchase price decreases as well
Floor and Ceiling Pricing	Purchase price increases and decreases with market prices but has a lower limit and upper limit for a specified time period
Other Pricing	Pricing method other than those specified above

(continued)

**Table 1. Purchase Data Fields—Provide Separate Files for Beef, Pork, and Lamb Products (continued)**

Field Name	Description
<b>Formula Base</b>	[If formula pricing was used, provide percentage of total dollar value of meat purchases by formula base for each meat type. Total for each record should sum to 100 percent.]
USDA Publicly Reported Price	For example, USDA weighted average or other price publicly reported by USDA
Futures Price or Price Ratio	For example, Chicago Mercantile Exchange price
Retail Price	Price paid by consumer at retail outlet
Subscription Service Price	For example, Urner Barry or other subscription service price
Other Base	Formula base other than those specified above

**Table 2. Sales Data Fields—Provide Separate Files for Beef, Pork, and Lamb Products**

A record is defined as the sale or transfer of meat products during a week. If field is not applicable, enter NA.

<b>Field Name</b>	<b>Description</b>
ID Number	ID number to identify record in the file
Week	Week for meat product sales, week ending or week beginning (yyyy/mm/dd)
Company Name	Name of company selling beef, pork, or lamb products
Value	Total dollar sales for the meat type
Weight	Total weight of sales for the meat type (pounds)
Export	Percentage of total dollar sales that were exported for the meat type
<b>Buyer Type</b>	[For each meat type, provide percentage of total dollar sales by buyer type. Total for each record should sum to 100 percent.]
Retailer	Grocery store, meat market, warehouse club, or other retail establishments in the United States
Food Service	Restaurant, hotel, institution, or other food service establishments in the United States
Foreign Buyer	Foreign distributors, retailers, or food service
Other Buyer	Buyer type other than those specified above
<b>Sales Method</b>	[For each meat type, provide percentage of total dollar sales by sales method. Total for each record should sum to 100 percent.]
Cash or Spot Market	Selling product directly to buyer, less than 3 weeks forward, at list or negotiated price including any specified discounts or premiums
Forward Contract	Oral or written agreement between buyer and seller for the <u>future</u> purchase of specified quantity of product at either a fixed or base price
Marketing Agreement	<u>Long-term</u> oral or written arrangement where buyer agrees to purchase product under specific terms, including preferred vendor programs
Internal Company Transfer	Transfer of product to another business unit owned by same company
Other Sales	Sales method other than those specified above
<b>Pricing Method</b>	[For each meat type, provide percentage of total dollar sales by pricing method (method used for individual transactions). Total for each record should sum to 100 percent.]
Flat Pricing	Buyer and seller agree to a specific dollar per pound for a specified time period
Formula Pricing	Using another price as the base for the sale of product
Or-Better Pricing	Buyer and seller agree to a specific dollar per pound for a specified time period; however, if the market price decreases over the time period, then the sales price decreases as well
Floor and Ceiling Pricing	Sales price increases and decreases with market prices but has a lower limit and upper limit for a specified time period
Other Pricing	Pricing method other than those specified above

(continued)

**Table 2. Sales Data Fields—Provide Separate Files for Beef, Pork, and Lamb Products (continued)**

Field Name	Description
<b>Formula Base</b>	[If formula pricing was used, provide percentage of total dollar sales by formula base for each meat type. Total for each record should sum to 100 percent.]
USDA Publicly Reported Price	For example, USDA weighted average or other price publicly reported by USDA
Futures Price or Price Ratio	For example, Chicago Mercantile Exchange price
Retail Price	Price paid by consumer at retail outlet
Subscription Service Price	For example, Urner Barry or other subscription service price
Other Base	Formula base other than those specified above









United States Department of Agriculture  
**Grain Inspection,  
Packers and Stockyards Administration**

OMB Control No.0580-0024  
Expiration Date: 10/31/2008

# Livestock and Meat Marketing Study: Data Collection for Meat Exporters

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0580-0024 and the expiration date is 10/31/2008. The time required to complete this information collection is estimated to average 24 to 40 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

For information about providing the data, please contact:

Justin Taylor  
RTI International  
3040 Cornwallis Road  
P.O. Box 12194  
Research Triangle Park, NC 27709  
Toll-free: (877) 254-1949  
E-mail: [USDAstudy@rti.org](mailto:USDAstudy@rti.org)

For general information about the study, please contact:

Roger E. Schneider  
USDA, GIPSA  
14th and Independence Ave SW  
Washington, DC 20250-3647  
Phone: 202-720-7455  
E-mail: [Roger.E.Schneider@usda.gov](mailto:Roger.E.Schneider@usda.gov)

If you have questions regarding your rights as a research participant, you may contact RTI's Office of Research Protection toll-free at 866-214-2043.

# Instructions

The Grain Inspection, Packers and Stockyards Administration (GIPSA) of the U.S. Department of Agriculture (USDA) has contracted with RTI International (RTI)\* to conduct a study of alternative marketing arrangements in the livestock and meat industries. This study, which was funded by Congress, will address the many questions and concerns that have been raised about changes in the structure and business practices in the livestock and meat industries.

The enclosed brochure provides additional information on the study, including the type of analyses that will be conducted and how the study findings will be used. To conduct the study, RTI is collecting data from the largest meat packers, meat processors, food wholesalers, food retailers, food service operators, and meat exporters. Your company was selected to provide data for this study.

The data are being collected exclusively for statistical purposes consistent with the provisions of the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA) and will be kept completely confidential. Your response to the data collection request will not be used as the basis of an investigation or enforcement action against your company. The study findings will be reported to the public only in aggregated form so that individual companies cannot be identified. Section V provides additional information on RTI's data security and confidentiality procedures.

The following types of data are being requested from meat exporters:

- weekly summaries of purchases and receipts of beef, pork, and lamb products
- weekly summaries of sales and transfers of beef, pork, and lamb products

If possible, we ask that you use the suggested file format specifications provided in the instructions in the following sections. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary.

***We ask that you send the requested data by April 14, 2006.*** Send electronic data files to RTI. Section IV provides instructions for sending electronic data files to RTI. If you are ***unable to provide*** the data to RTI in an electronic format, send hard copy data to GIPSA. Section VI provides instructions for sending hard copy data to GIPSA.

## Questions?

If you have any questions, please send an e-mail to [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG) or call our help line toll-free at (877) 254-1949. We operate the help line on weekdays from 9:00 a.m. to 5:00 p.m. EST.

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\*RTI International is a trade name of Research Triangle Institute.

## I. What Is the Time Period for the Data Request?

We ask that you provide the requested data for the 2.5-year period starting October 6, 2002, and ending March 31, 2005.

## II. What Information Needs to Be Provided on Purchases and Receipts of Meat Products?

Provide weekly summaries of purchases and receipts of meat products (beef, pork, and lamb) for the period October 6, 2002, through March 31, 2005. ***Only include information on products that contain at least 50 percent meat by weight. Do not include by-product purchase transactions. If your company purchases more than one type of meat, provide separate data files for each type of meat.***

Table 1 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 1 (Table1\_Purchase.xls). The file includes two worksheets or tabs. You can use the worksheet "purchase\_data" as a template for preparing the file in the specified format. If you are providing the data in an alternative format, you can use the worksheet "purchase\_dictionary" to prepare the data dictionary.

Please include "Purchase" and the type of meat (beef, pork, or lamb) in the file name for each data file and a sequential number identifying each file.

## III. What Information Needs to Be Provided on Sales and Transfers of Meat Products?

Provide weekly summaries of sales and transfers of meat products (beef, pork, and lamb) for the period October 6, 2002, through March 31, 2005. ***Only include information on products that contain at least 50 percent meat by weight. Do not include by-product sales transactions. If your company sells more than one type of meat, provide separate data files for each type of meat.***

Table 2 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 2 (Table2\_Sales.xls). The file includes two worksheets or tabs. You can use the worksheet "sales\_data" as a template for submitting the data in

the specified format. If you are providing the data in an alternative format, you can use the worksheet "sales\_dictionary" to prepare the data dictionary.

Please include "Sale" and the type of meat (beef, pork, or lamb) in the file name for each data file and a sequential number identifying each file.

#### **IV. How Do I Send Electronic Data Files to RTI?**

Use the enclosed transmittal form (see Figure 1 for an example) to provide the file format and file names for the files being submitted. For your convenience, information about your company has been provided on the form. Please write in any necessary corrections to this information and provide the contact information for the individual who is submitting the data.

You may provide the data files in any file format such as ASCII, comma delimited, Microsoft Excel, Microsoft Access, or other nonproprietary format. Copy the files for the purchase and sales data onto the CD provided. So that we can verify that the package was not tampered with en route to RTI, we ask that you use the following procedures:

1. Place the CD with the data files in the CD holder. If different file specifications were used, include the data dictionary as an electronic document on the CD or as a paper document.
2. Place the CD holder inside the envelope along with the completed transmittal form.
3. Seal the envelope using the seal provided.
4. Place the sealed envelope in the pre-addressed Federal Express box. Only authorized RTI project team members are permitted to break the seal securing the data files.

A Federal Express box, CD, envelope, and seal were provided with this instruction booklet. If you did not receive any of these materials or have misplaced them, please contact the help line and we will send you additional materials. Use the enclosed mailing label or send the data files to Ms. Shawn Karns, RTI International, Hobbs Building, Room 111, 3040 Cornwallis Road, Research Triangle Park, NC, 27709. If you have any questions about how to send the data, please contact our help line (see page 1).

A representative from RTI will notify you by fax or e-mail when the Federal Express box has been received.

#### **V. What Data Security and Confidentiality Procedures Will RTI Use?**

Packages containing electronic data files will be delivered to the Data Security Coordinator at RTI for this project. After the package has been logged in, it will be transported to a secure room by a member of the RTI project team. The raw data files will be stored in a locked file cabinet in the secure room, and stand-alone (nonnetwork) work stations in the secure room will be used to work with the company-level data files. Only authorized RTI project team members will have access to the secure room.

Only project team members who have signed a nondisclosure agreement with GIPSA and completed data security training will have access to the analysis datasets. Analysis datasets created using the data will not include identifying information such as company name, respondent name, and street address. Each company will be identified by a unique ID number. The link file (links the ID number to the company) will be stored in a locked file cabinet in the secure room. The analysis datasets will be encrypted using encryption software. A passphrase is required to decrypt and access the analysis datasets.

#### **VI. How Do I Send Hard Copy Data to GIPSA?**

If you are ***unable to provide*** the data to RTI in an electronic format, send hard copy data to GIPSA. Please provide a description of the data being sent on the transmittal form and include the transmittal form in the package. Please seal the package using the seal provided.

Send hard copy data to the following address: LMMS Coordinator, Grain Inspection, Packers and Stockyard Administration, 1400 Independence Avenue SW, Room 1642-S, Stop 3647, Washington, DC, 20250. For your convenience, a mailing label is enclosed for sending hard copy data to GIPSA. If you need additional seals or mailing labels, please contact our help line.

**Table 1. Purchase Data Fields—Provide Separate Files for Beef, Pork, and Lamb Products**

A record is defined as the purchase or receipt of meat products during a week. If field is not applicable, enter NA.

<b>Field Name</b>	<b>Description</b>
ID Number	ID number to identify record in the file
Week	Week for meat product purchases, week ending or week beginning (yyyy/mm/dd)
Company Name	Name of company purchasing beef, pork, or lamb products
Value	Total dollar value of purchases for the meat type
Weight	Total weight of purchases for the meat type (pounds)
Source	Percentage of total dollar value of meat purchases from U.S. sources for the meat type
Brand	Percentage of total dollar value of meat purchases with a national or regional brand label for the meat type
<b>Product Type</b>	[For each meat type, provide percentage of total dollar value of meat purchases by product type. Total for each record should sum to 100 percent.]
Fresh or Frozen	Chilled or frozen whole muscle cuts or ground (including trimmings)
Processed	Products that have received processing beyond grinding
Other Product	Product type other than those specified above
<b>Purchase Method</b>	[For each meat type, provide percentage of total dollar value of meat purchases by purchase method. Total for each record should sum to 100 percent.]
Cash or Spot Market	Purchasing product directly from seller, less than 3 weeks forward, at list or negotiated price including any specified discounts or premiums
Forward Contract	Oral or written agreement between buyer and seller for the <u>future</u> purchase of a specified quantity of product at either a fixed or base price
Marketing Agreement	<u>Long-term</u> oral or written arrangement where buyer agrees to purchase product under specific terms, including preferred vendor programs
Internal Company Transfer	Transfer of product from another business unit owned by same company
Other Purchase	Purchase method other than those specified above
<b>Pricing Method</b>	[For each meat type, provide percentage of total dollar value of meat purchases by pricing method (method used for individual transactions). Total for each record should sum to 100 percent.]
Flat Pricing	Buyer and seller agree to a specific dollar per pound for a specified time period
Formula Pricing	Using another price as the base for the purchase of product
Or-Better Pricing	Buyer and seller agree to a specific dollar per pound for a specified time period; however, if the market price decreases over the time period, then the purchase price decreases as well
Floor and Ceiling Pricing	Purchase price increases and decreases with market prices but has a lower limit and upper limit for a specified time period
Other Pricing	Pricing method other than those specified above

(continued)

**Table 1. Purchase Data Fields—Provide Separate Files for Beef, Pork, and Lamb Products (continued)**

Field Name	Description
<b>Formula Base</b>	[If formula pricing was used, provide percentage of total dollar value of meat purchases by formula base for each meat type. Total for each record should sum to 100 percent.]
USDA Publicly Reported Price	For example, USDA weighted average or other price publicly reported by USDA
Futures Price or Price Ratio	For example, Chicago Mercantile Exchange price
Retail Price	Price paid by consumer at retail outlet
Subscription Service Price	For example, Urner Barry or other subscription service price
Other Base	Formula base other than those specified above



**Table 2. Sales Data Fields—Provide Separate Files for Beef, Pork, and Lamb Products**

A record is defined as the sale or transfer of meat products during a week. If field is not applicable, enter NA.

<b>Field Name</b>	<b>Description</b>
ID Number	ID number to identify record in the file
Week	Week for meat product sales, week ending or week beginning (yyyy/mm/dd)
Company Name	Name of company selling beef, pork, or lamb products
Value	Total dollar sales for the meat type
Weight	Total weight of sales for the meat type (pounds)
Export	Percentage of total dollar sales that were exported for the meat type

**Figure 1. Transmittal Form**

<b>Transmittal Form</b>		ID No. _____
Date _____		
Company name _____		
Address _____		
City _____ State _____ Zip _____		
Name of individual submitting data _____		
Phone number _____ Fax number _____ E-mail _____		
Address _____		
City _____ State _____ Zip _____		
<b>Purchase Data Files</b>		
File format _____		Number of files _____
Used specifications in Table 1?	YES	
	NO →	Provide data dictionary on paper or on CD
File name (include "Purchase" in file name)	Description (for example, type of meat, time period, and other identifying information)	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
Page 1 of 2		

(continued)

**Figure 1. Transmittal Form (continued)**

ID No. _____	
<b>Sales Data Files</b>	
File format _____	Number of files _____
Used specifications in Table 2?	YES NO → Provide data dictionary on paper or on CD.
File name (include "Sale" in file name)	Description (for example, type of meat, time period, and other identifying information)
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____





United States Department of Agriculture

Grain Inspection,  
Packers and Stockyards Administration

OMB Control No.0580-0024

Expiration Date: 10/31/2008

# Livestock and Meat Marketing Study: Data Collection for Food Retailers

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0580-0024 and the expiration date is 10/31/2008. The time required to complete this information collection is estimated to average 24 to 40 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

For information about providing the data, please contact:

Justin Taylor  
RTI International  
3040 Cornwallis Road  
P.O. Box 12194  
Research Triangle Park, NC 27709  
Toll-free: (877) 254-1949  
E-mail: [USDAstudy@rti.org](mailto:USDAstudy@rti.org)

For general information about the study, please contact:

Roger E. Schneider  
USDA, GIPSA  
14th and Independence Ave SW  
Washington, DC 20250-3647  
Phone: 202-720-7455  
E-mail: [Roger.E.Schneider@usda.gov](mailto:Roger.E.Schneider@usda.gov)

If you have questions regarding your rights as a research participant, you may contact RTI's Office of Research Protection toll-free at 866-214-2043.

# Instructions

The Grain Inspection, Packers and Stockyards Administration (GIPSA) of the U.S. Department of Agriculture (USDA) has contracted with RTI International (RTI)\* to conduct a study of alternative marketing arrangements in the livestock and meat industries. This study, which was funded by Congress, will address the many questions and concerns that have been raised about changes in the structure and business practices in the livestock and meat industries.

The enclosed brochure provides additional information on the study, including the type of analyses that will be conducted and how the study findings will be used. To conduct the study, RTI is collecting data from the largest meat packers, meat processors, food wholesalers, food retailers, food service operators, and meat exporters. Your company was selected to provide data for this study.

The data are being collected exclusively for statistical purposes consistent with the provisions of the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA) and will be kept completely confidential. Your response to the data collection request will not be used as the basis of an investigation or enforcement action against your company. The study findings will be reported to the public only in aggregated form so that individual companies cannot be identified. Section V provides additional information on RTI's data security and confidentiality procedures.

The following types of data are being requested from food retailers (grocery stores, meat markets, warehouse clubs, and mass merchandisers):

- weekly summaries of purchases and receipts of beef, pork, and lamb products
- weekly summaries of sales and transfers of beef, pork, and lamb products

If possible, we ask that you use the suggested file format specifications provided in the instructions in the following sections. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary.

***We ask that you send the requested data by April 14, 2006.*** Send electronic data files to RTI. Section IV provides instructions for sending electronic data files to RTI. If you are ***unable to provide*** the data to RTI in an electronic format, send hard copy data to GIPSA. Section VI provides instructions for sending hard copy data to GIPSA.

## Questions?

If you have any questions, please send an e-mail to [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG) or call our help line toll-free at (877) 254-1949. We operate the help line on weekdays from 9:00 a.m. to 5:00 p.m. EST.

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\*RTI International is a trade name of Research Triangle Institute.

## **I. What Is the Time Period for the Data Request?**

We ask that you provide the requested data for the 2.5-year period starting October 6, 2002, and ending March 31, 2005.

## **II. What Information Needs to Be Provided on Purchases and Receipts of Meat Products?**

Provide weekly summaries of purchases and receipts of meat products (beef, pork, and lamb) for the period October 6, 2002, through March 31, 2005. ***Only include information on products that contain at least 50 percent meat by weight. If your company purchases more than one type of meat, provide separate data files for each type of meat.***

Table 1 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 1 (Table1\_Purchase.xls). The file includes two worksheets or tabs. You can use the worksheet "purchase\_data" as a template for preparing the file in the specified format. If you are providing the data in an alternative format, you can use the worksheet "purchase\_dictionary" to prepare the data dictionary.

Please include "Purchase" and the type of meat (beef, pork, or lamb) in the file name for each data file and a sequential number identifying each file.

## **III. What Information Needs to Be Provided on Sales and Transfers of Meat Products?**

Provide weekly summaries of sales and transfers of meat products (beef, pork, and lamb) for the period October 6, 2002, through March 31, 2005. ***Only include information on products that contain at least 50 percent meat by weight. If your company sells more than one type of meat, provide separate data files for each type of meat.***

Table 2 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 2 (Table2\_Sales.xls). The file includes two worksheets or tabs. You can use the worksheet "sales\_data" as a template for submitting the data in the specified format. If you are providing the data in an alternative format, you can use the worksheet "sales\_dictionary" to prepare the data dictionary.



Please include "Sale" and the type of meat (beef, pork, or lamb) in the file name for each data file and a sequential number identifying each file.

#### **IV. How Do I Send Electronic Data Files to RTI?**

Use the enclosed transmittal form (see Figure 1 for an example) to provide the file format and file names for the files being submitted. For your convenience, information about your company has been provided on the form. Please write in any necessary corrections to this information and provide the contact information for the individual who is submitting the data.

You may provide the data files in any file format such as ASCII, comma delimited, Microsoft Excel, Microsoft Access, or other nonproprietary format. Copy the files for the purchase and sales data onto the CD provided. So that we can verify that the package was not tampered with en route to RTI, we ask that you use the following procedures:

1. Place the CD with the data files in the CD holder. If different file specifications were used, include the data dictionary as an electronic document on the CD or as a paper document.
2. Place the CD holder inside the envelope along with the completed transmittal form.
3. Seal the envelope using the seal provided.
4. Place the sealed envelope in the pre-addressed Federal Express box. Only authorized RTI project team members are permitted to break the seal securing the data files.

A Federal Express box, CD, envelope, and seal were provided with this instruction booklet. If you did not receive any of these materials or have misplaced them, please contact the help line and we will send you additional materials. Use the enclosed mailing label or send the data files to Ms. Shawn Karns, RTI International, Hobbs Building, Room 111, 3040 Cornwallis Road, Research Triangle Park, NC, 27709. If you have any questions about how to send the data, please contact our help line (see page 1).

A representative from RTI will notify you by fax or e-mail when the Federal Express box has been received.

#### **V. What Data Security and Confidentiality Procedures Will RTI Use?**

Packages containing electronic data files will be delivered to the Data Security Coordinator at RTI for this project. After the package has been logged in, it will be transported to a secure room by a member of the RTI project team. The raw data files will be stored in a locked file cabinet in the secure room, and stand-alone (nonnetwork) work stations in the secure room will be used to work with the company-level data files. Only authorized RTI project team members will have access to the secure room.

Only project team members who have signed a nondisclosure agreement with GIPSA will have access to the analysis datasets. Analysis datasets created using the data will not

include identifying information such as company name, respondent name, and street address. Each company will be identified by a unique ID number. The link file (links the ID number to the company) will be stored in a locked file cabinet in the secure room. The analysis datasets will be encrypted using encryption software. A passphrase is required to decrypt and access the analysis datasets.

#### **VI. How Do I Send Hard Copy Data to GIPSA?**

If you are ***unable to provide*** the data to RTI in an electronic format, send hard copy data to GIPSA. Please provide a description of the data being sent on the transmittal form and include the transmittal form in the package. Please seal the package using the seal provided.

Send hard copy data to the following address: LMMS Coordinator, Grain Inspection, Packers and Stockyard Administration, 1400 Independence Avenue SW, Room 1642-S, Stop 3647, Washington, DC, 20250. For your convenience, a mailing label is enclosed for sending hard copy data to GIPSA. If you need additional seals or mailing labels, please contact our help line.

**Table 1. Purchase Data Fields—Provide Separate Files for Beef, Pork, and Lamb Products**

A record is defined as the purchase or receipt of meat products during a week. If field is not applicable, enter NA.

<b>Field Name</b>	<b>Description</b>
ID Number	ID number to identify record in the file
Week	Week for meat product purchases, week ending or week beginning (yyyy/mm/dd)
Company Name	Name of company purchasing beef, pork, or lamb products
Value	Total dollar value of purchases for the meat type
Weight	Total weight of purchases for the meat type (pounds)
Source	Percentage of total dollar value of meat purchases from U.S. sources for the meat type
Brand	Percentage of total dollar value of meat purchases with a national or regional brand label for the meat type
<b>Product Type</b>	[For each meat type, provide percentage of total dollar value of meat purchases by product type. Total for each record should sum to 100 percent.]
Fresh or Frozen	Chilled or frozen whole muscle cuts or ground (including trimmings)
Processed	Products that have received processing beyond grinding
Other Product	Product type other than those specified above
<b>Purchase Method</b>	[For each meat type, provide percentage of total dollar value of meat purchases by purchase method. Total for each record should sum to 100 percent.]
Cash or Spot Market	Purchasing product directly from seller, less than 3 weeks forward, at list or negotiated price including any specified discounts or premiums
Forward Contract	Oral or written agreement between buyer and seller for the <u>future</u> purchase of a specified quantity of product at either a fixed or base price
Marketing Agreement	<u>Long-term</u> oral or written arrangement where buyer agrees to purchase product under specific terms, including preferred vendor programs
Internal Company Transfer	Transfer of product from another business unit owned by same company
Other Purchase	Purchase method other than those specified above
<b>Pricing Method</b>	[For each meat type, provide percentage of total dollar value of meat purchases by pricing method (method used for individual transactions). Total for each record should sum to 100 percent.]
Flat Pricing	Buyer and seller agree to a specific dollar per pound for a specified time period
Formula Pricing	Using another price as the base for the purchase of product
Or-Better Pricing	Buyer and seller agree to a specific dollar per pound for a specified time period; however, if the market price decreases over the time period, then the purchase price decreases as well
Floor and Ceiling Pricing	Purchase price increases and decreases with market prices but has a lower limit and upper limit for a specified time period
Other Pricing	Pricing method other than those specified above

(continued)

**Table 1. Purchase Data Fields—Provide Separate Files for Beef, Pork, and Lamb Products (continued)**

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<b>Formula Base</b>	[If formula pricing was used, provide percentage of total dollar value of meat purchases by formula base for each meat type. Total for each record should sum to 100 percent.]
USDA Publicly Reported Price	For example, USDA weighted average or other price publicly reported by USDA
Futures Price or Price Ratio	For example, Chicago Mercantile Exchange price
Retail Price	Price paid by consumer at retail outlet
Subscription Service Price	For example, Urner Barry or other subscription service price
Other Base	Formula base other than those specified above

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**Table 2. Sales Data Fields—Provide Separate Files for Beef, Pork, and Lamb Products**

A record is defined as the sale or transfer of meat products during a week. If field is not applicable, enter NA.

<b>Field Name</b>	<b>Description</b>
ID Number	ID number to identify record in the file
Week	Week for meat product sales, week ending or week beginning (yyyy/mm/dd)
Company Name	Name of company selling beef, pork, or lamb products
Value	Total dollar sales for the meat type
Weight	Total weight of sales for the meat type (pounds)
Discount	Percentage of total dollar sales that were sold at a discounted or featured price (discount paid by seller) for the meat type

**Figure 1. Transmittal Form**

<b>Transmittal Form</b>		ID No. _____
Date _____		
Company name _____		
Address _____		
City _____ State _____ Zip _____		
Name of individual submitting data _____		
Phone number _____ Fax number _____ E-mail _____		
Address _____		
City _____ State _____ Zip _____		
<b>Purchase Data Files</b>		
File format _____		Number of files _____
Used specifications in Table 1?	YES	
	NO →	Provide data dictionary on paper or on CD
File name (include "Purchase" in file name)	Description (for example, type of meat, time period, and other identifying information)	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
Page 1 of 2		

(continued)

**Figure 1. Transmittal Form (continued)**

ID No. _____	
<b>Sales Data Files</b>	
File format _____ Number of files _____	
Used specifications in Table 2?	YES NO → Provide data dictionary on paper or on CD-ROM.
File name (include "Sale" in file name)	Description (for example, type of meat, time period, and other identifying information)
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
Page 2 of 2	







United States Department of Agriculture  
**Grain Inspection,  
Packers and Stockyards Administration**

OMB Control No.0580-0024  
Expiration Date: 10/31/2008

# Livestock and Meat Marketing Study: Data Collection for Food Service Operators

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0580-0024 and the expiration date is 10/31/2008. The time required to complete this information collection is estimated to average 24 to 40 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

For information about providing the data, please contact:

Justin Taylor  
RTI International  
3040 Cornwallis Road  
P.O. Box 12194  
Research Triangle Park, NC 27709  
Toll-free: (877) 254-1949  
E-mail: [USDAstudy@rti.org](mailto:USDAstudy@rti.org)

For general information about the study, please contact:

Roger E. Schneider  
USDA, GIPSA  
14th and Independence Ave SW  
Washington, DC 20250-3647  
Phone: 202-720-7455  
E-mail: [Roger.E.Schneider@usda.gov](mailto:Roger.E.Schneider@usda.gov)

If you have questions regarding your rights as a research participant, you may contact RTI's Office of Research Protection toll-free at 866-214-2043.

# Instructions

The Grain Inspection, Packers and Stockyards Administration (GIPSA) of the U.S. Department of Agriculture (USDA) has contracted with RTI International (RTI)\* to conduct a study of alternative marketing arrangements in the livestock and meat industries. This study, which was funded by Congress, will address the many questions and concerns that have been raised about changes in the structure and business practices in the livestock and meat industries.

The enclosed brochure provides additional information on the study, including the type of analyses that will be conducted and how the study findings will be used. To conduct the study, RTI is collecting data from the largest meat packers, meat processors, food wholesalers, food retailers, food service operators, and meat exporters. Your company was selected to provide data for this study.

The data are being collected exclusively for statistical purposes consistent with the provisions of the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA) and will be kept completely confidential. Your response to the data collection request will not be used as the basis of an investigation or enforcement action against your company. The study findings will be reported to the public only in aggregated form so that individual companies cannot be identified. Section V provides additional information on RTI's data security and confidentiality procedures.

The following types of data are being requested from food service operators (restaurants, hotels, and institutions):

- weekly summaries of purchases and receipts of beef, pork, and lamb products
- weekly summaries of sales and transfers of beef, pork, and lamb products

If possible, we ask that you use the suggested file format specifications provided in the instructions in the following sections. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary.

***We ask that you send the requested data by April 14, 2006.*** Send electronic data files to RTI. Section IV provides instructions for sending electronic data files to RTI. If you are ***unable to provide*** the data to RTI in an electronic format, send hard copy data to GIPSA. Section VI provides instructions for sending hard copy data to GIPSA.

## Questions?

If you have any questions, please send an e-mail to [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG) or call our help line toll-free at (877) 254-1949. We operate the help line on weekdays from 9:00 a.m. to 5:00 p.m. EST.

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\*RTI International is a trade name of Research Triangle Institute.

## I. What Is the Time Period for the Data Request?

We ask that you provide the requested data for the 2.5-year period starting October 6, 2002, and ending March 31, 2005.

## II. What Information Needs to Be Provided on Purchases and Receipts of Meat Products?

Provide weekly summaries of purchases and receipts of meat products (beef, pork, and lamb) for the period October 6, 2002, through March 31, 2005. ***Only include information on products that contain at least 50 percent meat by weight. If your company purchases more than one type of meat, provide separate data files for each type of meat.***

Table 1 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 1 (Table1\_Purchase.xls). The file includes two worksheets or tabs. You can use the worksheet "purchase\_data" as a template for preparing the file in the specified format. If you are providing the data in an alternative format, you can use the worksheet "purchase\_dictionary" to prepare the data dictionary.

Please include "Purchase" and the type of meat (beef, pork, or lamb) in the file name for each data file and a sequential number identifying each file.

## III. What Information Needs to Be Provided on Sales and Transfers of Meat Products?

Provide weekly summaries of sales and transfers of meat products (beef, pork, and lamb) for the period October 6, 2002, through March 31, 2005. ***Only include information on products that contain at least 50 percent meat by weight. If your company sells more than one type of meat, provide separate data files for each type of meat.***

Table 2 provides the variable name and description for each data field that is being requested. ***If a data field is not applicable, enter NA.*** If possible, we ask that you use the suggested file format specifications for providing the data. You can provide the data in an alternative format used by your company, but please provide a detailed data dictionary. The data dictionary should include the following for each variable in the dataset: variable name, description, unit of measure, and description of any coding system used. The enclosed CD provides a copy of Table 2 (Table2\_Sales.xls). The file includes two worksheets or tabs. You can use the worksheet "sales\_data" as a template for submitting the data in the specified format. If you are providing the data in an alternative format, you can use the worksheet "sales\_dictionary" to prepare the data dictionary.

Please include "Sale" and the type of meat (beef, pork, or lamb) in the file name for each data file and a sequential number identifying each file.

#### **IV. How Do I Send Electronic Data Files to RTI?**

Use the enclosed transmittal form (see Figure 1 for an example) to provide the file format and file names for the files being submitted. For your convenience, information about your company has been provided on the form. Please write in any necessary corrections to this information and provide the contact information for the individual who is submitting the data.

You may provide the data files in any file format such as ASCII, comma delimited, Microsoft Excel, Microsoft Access, or other nonproprietary format. Copy the files for the purchase and sales data onto the CD provided. So that we can verify that the package was not tampered with en route to RTI, we ask that you use the following procedures:

1. Place the CD with the data files in the CD holder. If different file specifications were used, include the data dictionary as an electronic document on the CD or as a paper document.
2. Place the CD holder inside the envelope along with the completed transmittal form.
3. Seal the envelope using the seal provided.
4. Place the sealed envelope in the pre-addressed Federal Express box. Only authorized RTI project team members are permitted to break the seal securing the data files.

A Federal Express box, CD, envelope, and seal were provided with this instruction booklet. If you did not receive any of these materials or have misplaced them, please contact the help line and we will send you additional materials. Use the enclosed mailing label or send the data files to Ms. Shawn Karns, RTI International, Hobbs Building, Room 111, 3040 Cornwallis Road, Research Triangle Park, NC, 27709. If you have any questions about how to send the data, please contact our help line (see page 1).

A representative from RTI will notify you by fax or e-mail when the Federal Express box has been received.

#### **V. What Data Security and Confidentiality Procedures Will RTI Use?**

Packages containing electronic data files will be delivered to the Data Security Coordinator at RTI for this project. After the package has been logged in, it will be transported to a secure room by a member of the RTI project team. The raw data files will be stored in a locked file cabinet in the secure room, and stand-alone (nonnetwork) work stations in the secure room will be used to work with the company-level data files. Only authorized RTI project team members will have access to the secure room.

Only project team members who have signed a nondisclosure agreement with GIPSA and completed data security training will have access to the analysis datasets. Analysis datasets

created using the data will not include identifying information such as company name, respondent name, and street address. Each company will be identified by a unique ID number. The link file (links the ID number to the company) will be stored in a locked file cabinet in the secure room. The analysis datasets will be encrypted using encryption software. A passphrase is required to decrypt and access the analysis datasets.

#### **VI. How Do I Send Hard Copy Data to GIPSA?**

If you are ***unable to provide*** the data to RTI in an electronic format, send hard copy data to GIPSA. Please provide a description of the data being sent on the transmittal form and include the transmittal form in the package. Please seal the package using the seal provided.

Send hard copy data to the following address: LMMS Coordinator, Grain Inspection, Packers and Stockyard Administration, 1400 Independence Avenue SW, Room 1642-S, Stop 3647, Washington, DC, 20250. For your convenience, a mailing label is enclosed for sending hard copy data to GIPSA. If you need additional seals or mailing labels, please contact our help line.

**Table 1. Purchase Data Fields—Provide Separate Files for Beef, Pork, and Lamb Products**

A record is defined as the purchase or receipt of meat products during a week. If field is not applicable, enter NA.

<b>Field Name</b>	<b>Description</b>
ID Number	ID number to identify record in the file
Week	Week for meat product purchases, week ending or week beginning (yyyy/mm/dd)
Company Name	Name of company purchasing beef, pork, or lamb products
Value	Total dollar value of purchases for the meat type
Weight	Total weight of purchases for the meat type (pounds)
Source	Percentage of total dollar value of meat purchases from U.S. sources for the meat type
Brand	Percentage of total dollar value of meat purchases with a national or regional brand label for the meat type
<b>Product Type</b>	[For each meat type, provide percentage of total dollar value of meat purchases by product type. Total for each record should sum to 100 percent.]
Fresh or Frozen	Chilled or frozen whole muscle cuts or ground (including trimmings)
Processed	Products that have received processing beyond grinding
Other Product	Product type other than those specified above
<b>Purchase Method</b>	[For each meat type, provide percentage of total dollar value of meat purchases by purchase method. Total for each record should sum to 100 percent.]
Cash or Spot Market	Purchasing product directly from seller, less than 3 weeks forward, at list or negotiated price including any specified discounts or premiums
Forward Contract	Oral or written agreement between buyer and seller for the <u>future</u> purchase of a specified quantity of product at either a fixed or base price
Marketing Agreement	<u>Long-term</u> oral or written arrangement where buyer agrees to purchase product under specific terms, including preferred vendor programs
Internal Company Transfer	Transfer of product from another business unit owned by same company
Other Purchase	Purchase method other than those specified above
<b>Pricing Method</b>	[For each meat type, provide percentage of total dollar value of meat purchases by pricing method (method used for individual transactions). Total for each record should sum to 100 percent.]
Flat Pricing	Buyer and seller agree to a specific dollar per pound for a specified time period
Formula Pricing	Using another price as the base for the purchase of product
Or-Better Pricing	Buyer and seller agree to a specific dollar per pound for a specified time period; however, if the market price decreases over the time period, then the purchase price decreases as well
Floor and Ceiling Pricing	Purchase price increases and decreases with market prices but has a lower limit and upper limit for a specified time period
Other Pricing	Pricing method other than those specified above

(continued)

**Table 1. Purchase Data Fields—Provide Separate Files for Beef, Pork, and Lamb Products (continued)**

<b>Field Name</b>	<b>Description</b>
<b>Formula Base</b>	[If formula pricing was used, provide percentage of total dollar value of meat purchases by formula base for each meat type. Total for each record should sum to 100 percent.]
USDA Publicly Reported Price	For example, USDA weighted average or other price publicly reported by USDA
Futures Price or Price Ratio	For example, Chicago Mercantile Exchange price
Retail Price	Price paid by consumer at retail outlet
Subscription Service Price	For example, Urner Barry or other subscription service price
Other Base	Formula base other than those specified above



**Table 2. Sales Data Fields—Provide Separate Files for Beef, Pork, and Lamb Products**

A record is defined as the sale or transfer of meat products during a week. If field is not applicable, enter NA.

<b>Field Name</b>	<b>Description</b>
ID Number	ID number to identify record in the file
Week	Week for meat product sales, week ending or week beginning (yyyy/mm/dd)
Company Name	Name of company selling beef, pork, or lamb products
Value	Total dollar sales for the meat type
Weight	Total weight of sales for the meat type (pounds)

**Figure 1. Transmittal Form**

<b>Transmittal Form</b>		ID No. _____
Date _____		
Company name _____		
Address _____		
City _____ State _____ Zip _____		
Name of individual submitting data _____		
Phone number _____ Fax number _____ E-mail _____		
Address _____		
City _____ State _____ Zip _____		
<b>Purchase Data Files</b>		
File format _____ Number of files _____		
Used specifications in Table 1? YES NO → Provide data dictionary on paper or on CD		
File name (include "Purchase" in file name)	Description (for example, type of meat, time period, and other identifying information)	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
Page 1 of 2		

(continued)

**Figure 1. Transmittal Form (continued)**

ID No. _____	
<b>Sales Data Files</b>	
File format _____	Number of files _____
Used specifications in Table 2?	YES NO → Provide data dictionary on paper or on CD.
File name (include "Sale" in file name)	Description (for example, type of meat, time period, and other identifying information)
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
Page 2 of 2	



# **Appendix E: Transactions Data Collection Materials for Meat Packers and Processors**

This appendix contains the materials sent to sampled business units to identify the responsible person for complying with the transactions data collection. The materials include

- § a prenotice letter from GIPSA and a contact information form and
- § an information brochure.





United States  
Department of  
Agriculture

Grain Inspection,  
Packers and Stockyards  
Administration

Stop 3601  
1400 Independence Ave., SW  
Washington, DC 20250-3601

## Prenotice Letter from GIPSA

Date

CEO Name  
Company Name  
Street Address  
City, State Zip

Dear (CEO Name):

The Grain Inspection, Packers and Stockyards Administration (GIPSA) of the U.S. Department of Agriculture (USDA) is conducting a study of alternative marketing arrangements in the livestock and meat industries, and we are asking for your cooperation.

In fiscal year 2003, GIPSA received \$4.5 million in appropriations for a broad study of marketing practices in the entire livestock and meat industries. The study will address many questions and concerns that have been raised about changes in the structure and business practices in the livestock and meat industries. The enclosed brochure provides additional information on the study, including the type of analyses that will be conducted and how the study findings will be used.

GIPSA has contracted with RTI International (RTI) to conduct the study. RTI is a not-for-profit contract research organization with an established history of conducting scientific research for many government agencies. To conduct the study, it is necessary to collect data from the largest meat packers, meat processors, food wholesalers, food retailers, food service operators, and meat exporters. RTI, in conjunction with university-based researchers, will collect the data, analyze the data, and prepare reports on the study findings.

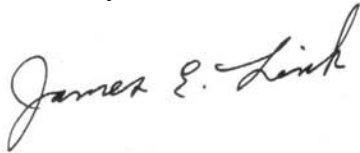
***Response to this data collection, which constitutes a special report, is required for meat packers and meat processors (7 U.S.C. 222) under the Packers and Stockyards Act.*** This letter constitutes a special order under that section, requiring regulated entities to respond to the special report. Meat packers and meat processors selected for this study must provide daily transactions data for procurement and sales and weekly profit and loss statements for a 2.5-year period. Pork packers selected for this study must provide contract settlement data for finished hogs.

The data are being collected exclusively for statistical purposes consistent with the provisions of the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA) and will be kept completely confidential. Additionally, the data are subject to the confidentiality restrictions in the Packers and Stockyards Act. Your response to the data collection request will not be used as the basis of an investigation or enforcement action against you. The study findings will be reported to the public only in aggregated form so that individual establishments cannot be identified. ***The enclosed brochure provides additional information on RTI's confidentiality procedures.***

Please use the enclosed form to designate the individual who is responsible for providing the requested data for each selected establishment. ***Please return the form to RTI within 5 business days.*** RTI will provide the designated individual with additional information on the transactions data that are required and instructions on how to provide the data. ***When RTI makes the actual data request, we ask that the designated individual(s) provide the data by April 14, 2006.***

If you have questions about the study or the request for data, please do not hesitate to contact Justin Taylor at RTI. He can be reached at 1-877-254-1949 or [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG). For additional general information about the study, you may also contact Dr. Roger Schneider at GIPSA. He can be reached at 202-720-7455 or [ROGER.E.SCHNEIDER@USDA.GOV](mailto:ROGER.E.SCHNEIDER@USDA.GOV). GIPSA appreciates your cooperation in this important endeavor.

Sincerely,

A handwritten signature in cursive script that reads "James E. Link". The signature is written in black ink and is positioned above the typed name and title.

James E. Link  
Administrator  
Grain Inspection, Packers and Stockyards Administration

Enclosures



**GIPSA Livestock and Meat Marketing Study  
Contact Information for  
Data Collection**

**Name:** \_\_\_\_\_  
**Phone Number:** \_\_\_\_\_  
**Company Name:** \_\_\_\_\_  
**Company Address:** \_\_\_\_\_  
**City:** \_\_\_\_\_ **State:** \_\_\_\_\_ **Zip:** \_\_\_\_\_

The establishment(s) identified below has been selected to provide data for the GIPSA Livestock and Meat Marketing Study. Please review the information for each establishment and (1) verify that the information provided is correct; if not, please write in any changes and (2) provide the contact information (phone number and address) for the person responsible for complying with the data request. Please provide the physical address that is used for Federal Express deliveries.

*Please complete and return the form to RTI within 5 business days. You can e-mail the form to [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG) or fax the form to 919-541-6683. We appreciate your cooperation.*

**Establishment 1:** ID No. \_\_\_\_\_  
Establishment No. \_\_\_\_\_  
Establishment Name: \_\_\_\_\_  
Establishment Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Responsible Person: \_\_\_\_\_  
Phone Number: \_\_\_\_\_ E-mail: \_\_\_\_\_  
Physical Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**Establishment 2:** ID No. \_\_\_\_\_  
Establishment No. \_\_\_\_\_  
Establishment Name: \_\_\_\_\_  
Establishment Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Responsible Person: \_\_\_\_\_  
Phone Number: \_\_\_\_\_ E-mail: \_\_\_\_\_  
Physical Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0580-0024 and the expiration date is 10-31-2008. The time required to complete this form is estimated to average .5 to 1 hour per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.



## Data Collection for the GIPSA Livestock and Meat Marketing Study

### Q. In what format should the data be provided?

- A. RTI will provide a detailed instruction booklet that describes how to provide the data for your industry. RTI worked with individuals from the meat industry to develop suggested format specifications for providing the data. To the extent possible, we ask that you provide the data in the specified format. If your company uses an alternative format, you can provide the data in the format used by your company, but please provide a data dictionary as explained in the instruction booklet.

### Q. When should the data be provided?

- A. *Please provide the requested data by April 14, 2006.* Representatives from RTI will contact you periodically to provide any needed assistance in complying with the data request.

### Q. Will the data be kept confidential?

- A. Absolutely. The data are being collected exclusively for statistical purposes consistent with the provisions of the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA) and will be kept completely confidential (see Public Law 107-347). Additionally, data provided by meat packers and processors are subject to the confidentiality restrictions in the Packers and Stockyards Act (P&S Act).

Analysis datasets created using the data will be stored in an encrypted format. Each establishment will be identified by a unique identification (ID) number within the analysis dataset. The link file (links the ID number to the establishment) will be stored in a locked file cabinet in a secure room. The study findings will be reported to the public only in aggregated form so that individual establishments or companies cannot be identified. At the end of the study, the analysis datasets (with identifying information removed) will be given to GIPSA, and RTI will destroy the raw data.

### Q. Who is GIPSA?

- A. USDA's Grain Inspection, Packers and Stockyards Administration (GIPSA) administers the Packers and Stockyards Act of 1921, as amended and supplemented (7 U.S.C. 181-229) (P&S Act). The P&S Act prohibits unfair, deceptive, and fraudulent practices by market agencies, dealers, stockyards, packers, swine contractors, and live poultry dealers in the livestock, meatpacking, and poultry industries.

### Q. Who is RTI International?\*

- A. RTI is a not-for-profit contract research institute located in North Carolina's Research Triangle Park. With an

established history of conducting scientific research for many government agencies, RTI is a proven leader in statistically valid survey research. GIPSA has contracted with RTI to conduct the Livestock and Meat Marketing Study. RTI, in conjunction with university-based researchers, will collect the data, analyze the data, and prepare reports on the study findings.

### Q. How can I find out more about this study?

- A. For information about the data collection, please contact:

Justin Taylor  
RTI International  
3040 Cornwallis Road · P.O. Box 12194  
Research Triangle Park, NC 27709  
Telephone: 1-877-254-1949  
E-mail: [USDAstudy@rti.org](mailto:USDAstudy@rti.org)

For general information about the Livestock and Meat Marketing Study, please visit the "Marketing Study" link at <http://www.gipsa.usda.gov/GIPSA/webapp?area=home&subject=lm&topic=ir-mmms> or contact:

Roger Schneider  
USDA, GIPSA  
14th and Independence Ave, SW  
Washington, DC 20250-3647  
Telephone: (202) 720-7455  
E-mail: [Roger.E.Schneider@gipsa.usda.gov](mailto:Roger.E.Schneider@gipsa.usda.gov)



## Q. What is this study about?

A. In fiscal year 2003, the Grain Inspection, Packers and Stockyards Administration (GIPSA) of the U.S. Department of Agriculture (USDA) received \$4.5 million in Congressional appropriations for a broad study of marketing practices in the entire livestock and meat industries. The study will address many questions and concerns that have been raised about changes in the structure and business practices in the livestock and meat industries. More specifically, the study will

- (1) identify and classify spot market and alternative marketing arrangements;
- (2) describe the terms and availability of alternative marketing arrangements, reasons for the use of spot market and alternative marketing arrangements, and the prices associated with each;
- (3) determine extent of use, analyze price differences, and analyze short-run spot market price effects of alternative marketing arrangements;
- (4) measure and compare costs and benefits associated with the spot market and alternative marketing arrangements; and

- (5) analyze the implications of alternative marketing arrangements for the livestock and meat marketing system.

GIPSA has contracted with RTI International (RTI) to conduct the Livestock and Meat Marketing Study. In August 2005, RTI released an interim report that provided background information on the use of marketing arrangements in the livestock and meat industries. This data collection will provide survey will provide quantitative data for the second stage of the study that will assess the impact of alternative marketing arrangements on the livestock and meat industries.

## Q. How will the study findings be used?

A. The Livestock and Meat Marketing Study will give livestock producers better information on which to base their decisions about whether to participate in nontraditional marketing arrangements and, if so, which types of arrangements are best suited to their needs. It will contribute to better public understanding of the role of alternative marketing arrangements, the extent of their use, reasons why firms enter into them, and the implications of such arrangements. It will help identify

emerging marketing information needs of livestock producers and other market participants. Furthermore, it will provide objective information for market participants, Congress, and USDA to consider while confronting the challenges facing the cattle, hog, and lamb industries.

## Q. What types of data are being collected?

A. To conduct this study it is necessary to collect data from the largest meat packers, meat processors, food wholesalers, food retailers, food service operators, and meat exporters. To provide a complete picture of marketing practices, RTI plans to link the purchase and sales transactions data to the responses from the survey conducted for this study.

### Meat Packers and Meat Processors

*Response to provide data for this study is required for meat packers and meat processors as a special report under the Packers and Stockyards Act (7 U.S.C. 222).* Meat packers and meat processors selected for this study must provide daily transactions data for purchases and sales (including settlement data for hog production contracts) for a 2.5-year period and weekly P&L statements.

### Food Wholesalers, Food Retailers, Food Service Operators, and Meat Exporters

Participation is voluntary for food wholesalers, food retailers, food service operators, and meat exporters. Firms selected for this study are being asked to provide a weekly summary of purchase and sales transactions (and the characteristics of the transactions) by type of marketing arrangement for a 2.5-year period. Their participation is necessary to ensure the study findings accurately represent the effects of alternative marketing arrangements on the meat industry.

## Q. How was my company selected to participate in the study?

A. The study is limited to the largest establishments and firms in the meat industry. For packers, data are being collected from the 60 largest beef packing establishments, 60 largest pork packing establishments, and 30 largest lamb packing establishments. For meat processors (including lamb breakers), data are being collected from the 50 largest establishments. For food wholesalers, food retailers, food service operators, and meat exporters, data are being collected from the 50 largest firms for each industry segment.

# **Appendix F: Transactions Data Collection Materials for Downstream Market Participants**

This appendix contains the materials sent to sampled business units to identify the responsible person for providing data for the transactions data collection. The materials include

- § a prenotice letter from GIPSA and a contact information form and
- § an information brochure.





United States  
Department of  
Agriculture

Grain Inspection,  
Packers and Stockyards  
Administration

Stop 3601  
1400 Independence Ave., SW  
Washington, DC 20250-3601

## Prenotice Letter from GIPSA

Date

Contact Name  
Company Name  
Street Address  
City, State Zip

Dear (Contact Name):

The Grain Inspection, Packers and Stockyards Administration (GIPSA) of the U.S. Department of Agriculture (USDA) is conducting a study of alternative marketing arrangements in the livestock and meat industries, and we are asking for your cooperation.

In fiscal year 2003, GIPSA received \$4.5 million in appropriations for a broad study of marketing practices in the entire livestock and meat industries. The study will address many questions and concerns that have been raised about changes in the structure and business practices in the livestock and meat industries. The enclosed brochure provides additional information on the study, including the type of analyses that will be conducted and how the study findings will be used.

GIPSA has contracted with RTI International (RTI) to conduct the study. RTI is a not-for-profit contract research organization with an established history of conducting scientific research for many government agencies. To conduct the study, it is necessary to collect data on procurement and sales transactions from the largest meat packers, meat processors, food wholesalers, food retailers, food service operators, and meat exporters. RTI, in conjunction with university-based researchers, will collect the data, analyze the data, and prepare reports on the study findings.

GIPSA is requesting that food wholesalers, food retailers, food service operators, and meat exporters selected for this study provide a weekly summary of transactions by type of marketing arrangement for a 2.5-year period. Your participation in the study is voluntary. ***So that the study findings accurately represent the effects of alternative marketing arrangements on the meat industry, we ask that you please participate.***

The data are being collected exclusively for statistical purposes consistent with the provisions of the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA) and will be kept completely confidential. Your response to the data collection request will not be used as the basis of an investigation or enforcement action against you. The study findings will be reported to the public only in aggregated form so that individual establishments cannot be identified. ***The enclosed brochure provides additional information on RTI's confidentiality procedures.***

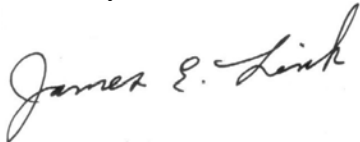
Please use the enclosed form to designate the individual who is responsible for providing the requested data for your company. ***Please return the form to RTI within 5 business days.*** RTI

will provide the designated individual with additional information on the data that are required and instructions on how to provide the data.

***When RTI makes the actual data request, we ask that the designated individual provides the requested data by April 14, 2006.*** The time required to provide the requested data is estimated to average 24 to 40 hours, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

If you have questions about the study or the request for data, please do not hesitate to contact Justin Taylor at RTI. He can be reached at 1-877-254-1949 or [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG). For additional general information about the study, you may also contact Dr. Roger Schneider at GIPSA. He can be reached at 202-720-7455 or [ROGER.E.SCHNEIDER@USDA.GOV](mailto:ROGER.E.SCHNEIDER@USDA.GOV). GIPSA appreciates your cooperation in this important endeavor.

Sincerely,

A handwritten signature in cursive script that reads "James E. Link".

James E. Link  
Administrator  
Grain Inspection, Packers and Stockyards Administration

Enclosures



**GIPSA Livestock and Meat Marketing Study  
Contact Information for  
Data Collection**

**Name:** \_\_\_\_\_  
**Phone Number:** \_\_\_\_\_  
**Company Name:** \_\_\_\_\_  
**Company Address:** \_\_\_\_\_  
**City:** \_\_\_\_\_ **State:** \_\_\_\_\_ **Zip:** \_\_\_\_\_

The company identified above has been selected to provide data for the GIPSA Livestock and Meat Marketing Study. Please provide the contact information (phone number and address) for the person responsible for complying with the data request. Please provide the physical address that is used for Federal Express deliveries.

*Please complete and return the form to RTI within 5 business days. You can e-mail the form to [USDASTUDY@RTI.ORG](mailto:USDASTUDY@RTI.ORG) or fax the form to 919-541-6683. We appreciate your cooperation.*

**Responsible Person:** \_\_\_\_\_  
**Phone Number:** \_\_\_\_\_ **E-mail:** \_\_\_\_\_  
**Physical Address:** \_\_\_\_\_  
**City:** \_\_\_\_\_ **State:** \_\_\_\_\_ **Zip:** \_\_\_\_\_

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## Data Collection for the GIPSA Livestock and Meat Marketing Study

### Q. In what format should the data be provided?

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Justin Taylor  
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Research Triangle Park, NC 27709  
Telephone: 1-877-254-1949  
E-mail: [USDAstudy@rti.org](mailto:USDAstudy@rti.org)

For general information about the Livestock and Meat Marketing Study, please visit the "Marketing Study" link at <http://www.gipsa.usda.gov/GIPSA/webapp?area=home&subject=lm&topic=ir-mmms> or contact:

Roger Schneider  
USDA, GIPSA  
14th and Independence Ave, SW  
Washington, DC 20250-3647  
Telephone: (202) 720-7455  
E-mail: [Roger.E.Schneider@gipsa.usda.gov](mailto:Roger.E.Schneider@gipsa.usda.gov)



\*RTI International is a trade name of Research Triangle Institute

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