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## Illegal Corporate Behavior, 1975-1976

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105519

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ICPSR 7855

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ILLEGAL CORPORATE BEHAVIOR, 1975-1976

(ICPSR STUDY 7855)

Principal Investigators

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ACQUISITIONS

## ACKNOWLEDGEMENT OF ASSISTANCE

All manuscripts utilizing data made available through the Consortium should acknowledge that fact as well as identify the original collector of the data. The ICPSR Council urges all users of the ICPSR data facilities to follow some adaptation of this statement with the parentheses indicating items to be filled in appropriately or deleted by the individual user.

The data (and tabulations) utilized in this (publication) were made available (in part) by the Inter-university Consortium for Political and Social Research. The data for ILLEGAL CORPORATE BEHAVIOR, 1975-1976 were originally collected by Marshall B. Clinard and Peter C. Yeager. Neither the collector of the original data nor the Consortium bear any responsibility for the analyses or interpretations presented here.

In order to provide funding agencies with essential information about the use of archival resources and to facilitate the exchange of information about ICPSR participants' research activities, each user of the ICPSR data facilities is expected to send two copies of each completed manuscript or thesis abstract to the Consortium. Please indicate in the cover letter which data were used.

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PART 1: ECONOMIC ANALYSIS DATA

ILLEGAL CORPORATE BEHAVIOR, 1975-1976

## DATA COLLECTION DESCRIPTION

This study represents the first large-scale comprehensive investigation of corporate violations of law. It examines the extent and nature of these illegal activities, the internal corporate structure and the economic setting in which the violations occurred. The study concentrates on an empirical investigation of the 582 largest publicly owned corporations in the United States: 477 manufacturing, 18 wholesale, 66 retail and 21 service. The 1975 annual sales of the corporations studied range from \$300 million to more than \$45 billion, with an average sales volume of \$1.7 billion for parent firms. Corporations in banking, insurance, transportation, communication and utilities have been excluded because of the unusual nature of these businesses (i.e., they are subject to strict regulation and/or licensing). Data covered all enforcement actions that could be secured, initiated or imposed by 24 federal agencies during 1975 and 1976.

The Economic Analysis Data, including a broad range of industry and firm-level characteristics, were used to determine the conditions conducive to the commissions of illegal corporate acts. To determine a corporation's operating and financial difficulties a number of ratio variables were created. Such variables included Net Income/Total Assets (to determine profitability), Working Capital/Total Assets (to determine liquidity), and Sales/Total Assets (to determine efficiency). The researchers also calculated two variables to determine a corporation's market power: (1) the average concentration ratio across all manufacturing industries in which the firm operates, weighted by the relative importance of each industry to the firm, and based on its sales in each four-digit SIC line-of-business; (2) the firm's relative dominance in the industry. This measure shows the size of the firm relative to the four largest companies in the industry and indicates a firm's level of flexibility in and control over its environment.

Other variables in the Economic Data File include a measure of firm diversification, percent foreign sales, assets per employee, firm size, firm growth and a number of variables for industry level data.

## DATA COLLECTION PROCEDURES

Information on firm and industry characteristics was obtained from the COMPUSTAT service of Investors Management Science, Inc., made available by the School of Business at the University of Wisconsin--Madison. The service provided computer readable data tapes containing both financial and structural information for several thousand industrial and non-industrial parent companies over a period of 10 to 20 years. For the 22 corporations in the sample for which COMPUSTAT data were not available, the required information was assembled from the MOODY's series of manuals, the corporations' annual reports to the Securities and Exchange Commission (Form 10-K), and FORTUNE magazine, with care taken to assure the comparability of definitions of the various indicators.

Data on firms' sales broken down by individual lines of business, used to calculate a measure of a company's level of diversification and other variables, were purchased from Economic Information Systems, Inc. (EIS). These data were available for all but 10 of the sample parent corporations. Finally, information on the levels of concentration in the various manufacturing industries was taken from the 1972 Census of Manufacturers by the U.S. Bureau of the Census.

## Related Publications:

U.S. Dept. of Justice;  
ILLEGAL CORPORATE BEHAVIOR, 1979. Stock number  
027-000-00843-7. U.S. Government Printing  
Office, Washington, D.C. 20402.

## FILE STRUCTURE

The data for the Economic Analysis File of ILLEGAL CORPORATE BEHAVIOR, 1975-1976 are available from the ICPSR in OSIRIS and card-image format. The data file is constructed with a logical record length of 791 and there are 128 variables on 461 cases.

## CODEBOOK INFORMATION

The example below is a reproduction of information appearing in the machine-readable codebook for a typical variable. The numbers in brackets do not appear but are references to the descriptions which follow this example.

.....

[1] VAR 0006	[2] 5 YR MEAN FOR CORP SALES	[3] MD=99
REF 0006	[4] LOC 14 WIDTH 7	[5] DK COL
	[6] IMP DEC= 5	

[7] Q.2 Logged value of the five-year (1971-1975) mean for corporate sales

[8] Actual number is coded.

[9] [10]

99.00000 Missing Data

.....

- [1] Indicates the variable and reference numbers. A variable and reference number are assigned to each item in the study. In this codebook which documents the archived dataset these numbers are identical. Should the data be disseminated in a different structure, new variable numbers may be assigned or created. The reference number would remain unchanged and correspond to those in this codebook.
- [2] Indicates the abbreviated (24 character maximum) variable label used within OSIRIS to identify each variable. An expanded version can be found in the Variable Description List.
- [3] Indicates the designation of missing data. In this example, code values equal to 99 are missing data (MD=99). Alternative statements for other variables



"NO MISSING DATA CODES."

Some analysis software packages (including the ICPSR-supported package) require that certain types of data which the user desires to be excluded from analysis be designated as "missing data" e.g., inappropriate, unascertained, unascertainable, or ambiguous data categories. Although this value is defined as within the missing data category, this does not mean that users should not or cannot use this code value in a substantive role if they so desire.

- [4] Indicates the sequential location and width of this variable within the record when the data are stored on magnetic tape. In this example the variable named "5 YR MEAN FOR CORP SALES" is seven columns wide and located in the 14th column within the record.
- [5] Indicates the location by deck and column(s) of this variable when the data are stored on cards or in card image format.
- [6] Indicates the number of implied decimal places.
- [7] Indicates the full text of the variable description supplied by the original collector of the data. The numbers and letters that may appear at the beginning are question numbers from the survey forms.
- [8] Indicates codes are actual values.
- [9] Indicates the code values occurring in the data for this variable.
- [10] Indicates the textual definitions of the codes.

## ICPSR PROCESSING INFORMATION

The data collection was processed according to the standard ICPSR processing procedures. The data were checked for illegal or inconsistent code values which, when found, were recoded to OSIRIS missing data values. No consistency checks were performed. Statements bracketed in "<" and ">" signs in the body of the codebook were added by the processors for explanatory purposes.

## VARIABLE DESCRIPTION LIST

### ICPSR PROCESSING VARIABLES

- 1 ICPSR study number - 7855
- 2 ICPSR edition number - 2
- 3 ICPSR part number - 1
- 4 ICPSR sequential case identification number
- 5 Corporation identification number

### LOGGED VALUE OF THE FIVE-YEAR MEAN (1971-1975)

- 6 Sales
- 7 Assets
- 8 Employees

### FIVE YEAR MEAN (1971-1975)

- 9 R&D expenses/sales
- 10 Labor expenses/sales
- 11 Net income/sales
- 12 Net income/total assets
- 13 Earnings/share
- 14 Net income/average common equity
- 15 EBIT/total assets
- 16 Total debt/total assets
- 17 Net income@(time t)/total assets@(t-1)
- 18 Sales/long-term assets
- 19 Sales/total assets
- 20 Market value/book value
- 21 Retained earnings/total assets
- 22 Net working capital/total assets
- 23 Assets/employees

### FIVE-YEAR (1971-1975) TREND IN GROWTH

- 24 Sales
- 25 Assets
- 26 Employees
- 27 R&D expenses/sales
- 28 Labor expenses/sales
- 29 Net income/sale
- 30 Net income/total assets
- 31 Earnings/share
- 32 Net income/average common equity
- 33 EBIT/total assets

34 Total debt/total assets  
35 Net income@(time t)/total assets@(t-1)  
36 Sales/long-term assets  
37 Sales/total assets  
38 Market value/book value  
39 Retained earnings/total assets  
40 Net working capital/total assets  
41 Assets/employees

42 Industry codes

#### SIZE OF FIRM

43 Sales  
44 Assets  
45 Employees

#### FIVE-YEAR (1971-1975) MEAN INDUSTRY SCORES

46 R&D expenses/sales  
47 Labor expenses/sales  
48 Net income/sales  
49 Net income/total assets  
50 Earnings/share  
51 Net income/average common equity  
52 EBIT/total assets  
53 Total debt/total assets  
54 Net income@(time t)/total assets@(t-1)  
55 Sales/long-term assets  
56 Sales/total assets  
57 Market value equity/book value  
58 Retained earnings/total assets  
59 Net working capital/total assets  
60 Assets/employees

#### FIVE-YEAR (1971-1975) PRIMARY INDUSTRY GROWTH TRENDS

61 Sales  
62 Assets  
63 Employees  
64 R&D expenses/sales  
65 Labor expenses/sales  
66 Net income/sales  
67 Net income/total assets  
68 Earnings/share  
69 Net income/average common equity  
70 EBIT/total assets  
71 Total debt/total assets  
72 Net income@(time t)/total assets@(t-1)  
73 Sales/long-term assets  
74 Sales/total assets  
75 Market value equity/book value

- 76 Retained earnings/total assets
- 77 Net working capital/total assets
- 78 Assets/employees

- 79 Estimate of sales generated by foreign subsidiaries
- 80 Mean foreign sales by firms in primary industry

#### FIRM DIVERSIFICATION

- 81 Degree of firm diversification - 1
- 82 Degree of firm diversification - 2
- 83 Degree of firm diversification - 3
- 84 Degree of firm diversification - 4

- 85 Average concentration ratio
- 86 Relative firm dominance

#### SIC LINES-OF-BUSINESS

- 87 Number of 4-digit SIC lines-of-business
- 88 Total number 4-digit SIC lines-of-business

#### PRIMARY INDUSTRY

- 89 SIC codes - 1
- 90 SIC codes - 2
- 91 SIC codes - 3
- 92 SIC codes - 4
- 93 SIC codes - 5
- 94 SIC codes - 6
- 95 SIC codes - 7
- 96 SIC codes - 8
- 97 SIC codes - 9
- 98 SIC codes - 10
- 99 SIC codes - 11
- 100 SIC codes - 12
- 101 SIC codes - 13
- 102 SIC codes - 14
- 103 SIC codes - 15
- 104 SIC codes - 16
- 105 SIC codes - 17
- 106 SIC codes - 18
- 107 SIC codes - 19
- 108 SIC codes - 20

#### TOTAL NUMBER SEPARATE LEGAL ACTIONS

- 109 Legal actions against corporation - 1
- 110 Violations after 1973
- 111 Non-unique violations

- 112 Non-unique violations after 1973
- 113 Serious violations
- 114 Serious violations after 1973
- 115 Serious non-unique violations
- 116 Serious non-unique violations after 1973

SEPARATE LEGAL ACTIONS BROUGHT AGAINST CORPORATION

- 117 Administrative violations
- 118 Serious administrative violations
- 119 Environmental violations
- 120 Serious environmental violations
- 121 Financial violations
- 122 Serious financial violations
- 123 Labor violations
- 124 Serious labor violations
- 125 Manufacturing violations
- 126 Serious manufacturing violations
- 127 Unfair trade practices
- 128 Unfair trade practices prior to 1973

DECK IDENTIFICATION NUMBER IS '01'

---

DK 1 COL 1- 2

VAR 0001	ICPSR STUDY #	NO MISSING DATA CODES
REF 0001	LOC 1 WIDTH 4	DK 1 COL 3- 6

ICPSR Study Number-7855

---

7855. The ICPSR has attached this number as a unique data collection identification number.

.....

VAR 0002	ICPSR EDITION #	NO MISSING DATA CODES
REF 0002	LOC 5 WIDTH 1	DK 1 COL 7

ICPSR Edition Number-2

---

2. The number identifying the release edition of the data collection.

.....

VAR 0003	ICPSR PART #	NO MISSING DATA CODES
REF 0003	LOC 6 WIDTH 1	DK 1 COL 8

ICPSR Part Number-1

---

1. The first part of a two-part data collection.

.....

VAR 0004	ICPSR CASE ID	NO MISSING DATA CODES
REF 0004	LOC 7 WIDTH 3	DK 1 COL 9-11

ICPSR Sequential Case Identification Number

---

The ICPSR has attached a sequential identification number to every case. This number uniquely identifies each record in

(CONTINUED)

the data collection.

.....

VAR 0005	CORPORATION ID NUMBER	NO MISSING DATA CODES
REF 0005	LOC 10 WIDTH 4	DK 1 COL 12-15

### Q.1 Corporation Identification Number

-----

Actual number is coded.

Code documentation not released by Principal Investigators.

.....

VAR 0006	5 YR MEAN FOR CORP SALES	MD=9900000
REF 0006	LOC 14 WIDTH 7	DK 1 COL 16-22
	IMP DEC= 5	

### Q.2 Logged value of the five-year (1971-75) mean for corporate sales

-----

Actual number is coded.

99.00000 Missing Data

.....

VAR 0007	5 YR MEAN FOR CORP ASSET	MD=9900000
REF 0007	LOC 21 WIDTH 7	DK 1 COL 23-29
	IMP DEC= 5	

### Q.3 Logged value of the five-year (1971-75) mean for corporate assets

-----

Actual number is coded.

99.00000 Missing Data



VAR 0008      5 YR MEAN # CORP EMPLOYE      MD=9000000  
 REF 0008      LOC    28 WIDTH 7      DK    1 COL 30-36  
                                  IMP DEC= 6

Q.4 Logged value of the five-year (1971-75) mean for  
 corporate employees  
 -----

Actual number is coded.

9.000000 Missing Data  
 .....

VAR 0009      5 YR MEAN R&D EXP/SALES      MD=9999999  
 REF 0009      LOC    35 WIDTH 7      DK    1 COL 37-43  
                                  IMP DEC= 6

Q.5 Five-year (1971-75) mean for: R&D Expenses/Sales  
 -----

Actual number is coded.

9.999999 Missing Data  
 .....

VAR 0010      5 YR MEAN LABOR EXP/SALE      MD=9999999  
 REF 0010      LOC    42 WIDTH 7      DK    1 COL 44-50  
                                  IMP DEC= 6

Q.6 Five-year (1971-75) mean for: Labor Expenses/Sales  
 -----

Actual number is coded.

9.999999 Missing Data  
 .....

VAR 0011      5 YR MEAN NET INCOME/SAL      MD=9999999  
 REF 0011      LOC    49 WIDTH 7      DK    1 COL 51-57  
                                  IMP DEC= 6

Q.7 Five-year (1971-75) mean for: Net Income/Sales  
 -----

(CONTINUED)

Actual number is coded.

9.999999 Missing Data

.....

VAR 0012	5 YR MEAN INCOME/TOT ASS	MD=9999999
REF 0012	LOC 56 WIDTH 7	DK 1 COL 58-64
	IMP DEC= 6	

Q.8 Five-year (1971-75) mean for: Net Income/Total Assets

-----

Actual number is coded.

9.999999 Missing Data

.....

VAR 0013	5 YR MEAN EARNINGS/SHARE	MD=9999999
REF 0013	LOC 63 WIDTH 7	DK 1 COL 65-71
	IMP DEC= 5	

Q.9 Five-year (1971-75) mean for: Earnings/Share

-----

Actual number is coded.

99.999999 Missing Data

.....

VAR 0014	5 YR MEAN NET INCOME/ACE	MD=9999999
REF 0014	LOC 70 WIDTH 7	DK 1 COL 72-78
	IMP DEC= 4	

Q.10 Five-year (1971-75) mean for: Net Income/Average  
Common Equity

-----

$$ACE = [Equity (time t) + Equity (t-1)]/2$$

Actual number is coded.

999.9999 Missing Data

DECK IDENTIFICATION NUMBER IS '02'

DK 2 COL 1- 2

VAR 0001 ICPSR STUDY # NO MISSING DATA CODES  
REF 0001 LOC 1 WIDTH 4 DK 2 COL 3- 6

ICPSR Study Number-7855

7855. The ICPSR has attached this number as a unique  
data collection identification number.

.....  
VAR 0002 ICPSR EDITION # NO MISSING DATA CODES  
REF 0002 LOC 5 WIDTH 1 DK 2 COL 7

ICPSR Edition Number-2

2. The number identifying the release edition of the  
data collection.

.....  
VAR 0003 ICPSR PART # NO MISSING DATA CODES  
REF 0003 LOC 6 WIDTH 1 DK 2 COL 8

ICPSR Part Number-1

1. The first part of a two-part data collection.

.....  
VAR 0004 ICPSR CASE ID NO MISSING DATA CODES  
REF 0004 LOC 7 WIDTH 3 DK 2 COL 9-11

ICPSR Sequential Case Identification Number

The ICPSR has attached a sequential identification number to  
every case. This number uniquely identifies each record in  
the data collection.

VAR 0015      5 YR MEAN EBIT/TOT ASSET      MD=99999999  
 REF 0015      LOC    77 WIDTH 7      DK    2 COL 12-18  
                                  IMP DEC= 6

Q.11 Five-year (1971-75) mean for: EBIT/Total Assets  
 -----

[EBIT = COMPUSTAT variables  
 Net Income + Income Taxes + Minority Interest + Interest  
 Expense]

Actual number is coded.

9.999999 Missing Data  
 .....

VAR 0016      5 YR MEAN DEBT/ASSETS      MD=90000000  
 REF 0016      LOC    84 WIDTH 7      DK    2 COL 19-25  
                                  IMP DEC= 6

Q.12 Five-year (1971-75) mean for: Total Debt/Total Assets  
 -----

[Total Debt = Long-term Debt + Current Liabilities]

Actual number is coded.

9.000000 Missing Data  
 .....

VAR 0017      5 YR MEAN INCOME/ASSETS      MD=99999999  
 REF 0017      LOC    91 WIDTH 7      DK    2 COL 26-32  
                                  IMP DEC= 6

Q.13 Five-year (1971-75) mean for:  
 Net Income@(time t)/Total Assests@(t-1)  
 -----

Actual number is coded.

9.999999 Missing Data

VAR 0018      5 YR MEAN SALES/LT ASSET      MD=99999999  
 REF 0018      LOC 98 WIDTH 7      DK 2 COL 33-39  
 IMP DEC= 6

Q.14 Five-year (1971-75) mean for: Sales/Long-term Assets  
 -----

[Long-term Assets = Total Assets - Current Assets]  
 [Logged 5-year mean]

Actual number is coded.

9.999999 Missing Data  
 .....

VAR 0019      5 YR MEAN SALES/ASSETS      MD=99999999  
 REF 0019      LOC 105 WIDTH 7      DK 2 COL 40-46  
 IMP DEC= 5

Q.15 Five-year (1971-75) mean for: Sales/Total Assets  
 -----

Actual number is coded.

99.999999 Missing Data  
 .....

VAR 0020      5 YR MEAN MAR VAL/BK VAL      MD=99999999  
 REF 0020      LOC 112 WIDTH 7      DK 2 COL 47-53  
 IMP DEC= 5

Q.16 Five-year (1971-75) mean for:  
 Market Value Equity/Book Value  
 -----

Total Debt  
 [Price-close X Common Shares Outstanding/Long-term Debt +  
 Current Liabilities] [Logged 5-year mean]

Actual number is coded.

99.999999 Missing Data

VAR 0021 5 YR MEAN RE EARN/ASSETS MD=99999999  
 REF 0021 LOC 119 WIDTH 7 DK 2 COL 54-60  
 IMP DEC= 6

Q.17 Five-year (1971-75) mean for: Retained Earnings/Total Assets  
 -----

Actual number is coded.

9.999999 Missing Data  
 .....

VAR 0022 5 YR MEAN NWC/TOT ASSETS MD=99999999  
 REF 0022 LOC 126 WIDTH 7 DK 2 COL 61-67  
 IMP DEC= 6

Q.18 Five-year (1971-75) mean for: Net Working Capital/Total Assets  
 -----

[NWC = Current Assets - Current Liabilities]

Actual number is coded.

9.999999 Missing Data  
 .....

VAR 0023 5 YR MEAN ASSET/EMPLOYEE MD=99000000  
 REF 0023 LOC 133 WIDTH 7 DK 2 COL 68-74  
 IMP DEC= 5

Q.19 Five-year (1971-75) mean for: Assets/Employees  
 -----

[Logged 5-year mean]

Actual number is coded.

99.0000 Missing Data

DECK IDENTIFICATION NUMBER IS '03'  
 -----

DK 3 COL 1- 2

VAR 0001	ICPSR STUDY #	NO MISSING DATA CODES
REF 0001	LOC 1 WIDTH 4	DK 3 COL 3-6

#### ICPSR Study Number-7855

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7855. The ICPSR has attached this number as a unique data collection identification number.

VAR 0002	ICPSR EDITION #	NO MISSING DATA CODES
REF 0002	LOC 5 WIDTH 1	DK 3 COL 7

#### ICPSR Edition Number-2

---

2. The number identifying the release edition of the data collection.

VAR 0003	ICPSR PART #	NO MISSING DATA CODES
REF 0003	LOC 6 WIDTH 1	DK 3 COL 8

#### ICPSR Part Number-1

---

1. The first part of a two-part data collection.

VAR 0004	ICPSR CASE ID	NO MISSING DATA CODES
REF 0004	LOC 7 WIDTH 3	DK 3 COL 9-11

#### ICPSR Sequential Case Identification Number

---

The ICPSR has attached a sequential identification number to every case. This number uniquely identifies each record in the data collection.

VAR 0024      5 YR GROWTH IN SALES      MD=9999999  
 REF 0024      LOC 140 WIDTH 7      DK 3 COL 12-18  
 IMP DEC= 6

Q.20 Five-year (1971-75) trend in growth: Sales  
 -----

Yearly values logged; trend then computed as the slopes of the regression lines generated by regressing, for example, sales on year. Unstandardized b's used to indicate trends.

Actual number is coded.

9.999999 Missing Data  
 .....

VAR 0025      5 YR GROWTH IN ASSETS      MD=9999999  
 REF 0025      LOC 147 WIDTH 7      DK 3 COL 19-25  
 IMP DEC= 6

Q.21 Five-year (1971-75) trend in growth: Assets  
 -----

Yearly values logged; trend then computed as the slopes of the regression lines generated by regressing, for example, sales on year. Unstandardized b's used to indicate trends.

Actual number is coded.

9.999999 Missing Data  
 .....

VAR 0026      5 YR GROWTH IN EMPLOYEES      MD=9999999  
 REF 0026      LOC 154 WIDTH 7      DK 3 COL 26-32  
 IMP DEC= 6

Q.22 Five-year (1971-75) trend in growth: Employees  
 -----

Yearly values logged; trend then computed as the slopes of the regression lines generated by regressing, for example, sales on year. Unstandardized b's used to indicate trends.

Actual number is coded.



(CONTINUED)

## 9.999999 Missing Data

.....

VAR 0027	5 YR GROW R&D EXP/SALES	MD=9999999
REF 0027	LOC 161 WIDTH 7	DK 3 COL 33-39
	IMP DEC= 6	

Q.23 Five-year (1971-75) trend in growth: R&D  
Expenses/Sales

-----

Trends computed as slopes of regression lines; indicated by  
unstandardized b's.

Actual number is coded.

## 9.999999 Missing Data

.....

VAR 0028	5 YR GROW LABOR EXP/SALE	MD=9999999
REF 0028	LOC 168 WIDTH 7	DK 3 COL 40-46
	IMP DEC= 6	

Q.24 Five-year (1971-75) trend in growth: Labor  
Expenses/Sales

-----

Trends computed as slopes of regression lines; indicated by  
unstandardized b's.

Actual number is coded.

## 9.999999 Missing Data

.....

VAR 0029	5 YR GROW NET INCOME/SAL	MD=9999999
REF 0029	LOC 175 WIDTH 7	DK 3 COL 47-53
	IMP DEC= 6	

Q.25 Five-year (1971-75) trend in growth: Net Income/Sale

-----

Trends computed as slopes of regression lines; indicated by  
unstandardized b's.

(CONTINUED)

Actual number is coded.

9.999999 Missing Data

.....

VAR 0030	5 YR GROW INCOME/TOT ASS	MD=9999999
REF 0030	LOC 182 WIDTH 7	DK 3 COL 54-60
	IMP DEC= 6	

Q.26 Five-year (1971-75) trend in growth: Net Income/Total Assets

-----

Trends computed as slopes of regression lines; indicated by unstandardized b's.

Actual number is coded.

9.999999 Missing Data

.....

VAR 0031	5 YR GROW EARNINGS/SHARE	MD=9999999
REF 0031	LOC 189 WIDTH 7	DK 3 COL 61-67
	IMP DEC= 5	

Q.27 Five-year (1971-75) trend in growth: Earnings/Share

-----

Trends computed as slopes of regression lines; indicated by unstandardized b's.

Actual number is coded.

99.999999 Missing Data

.....

VAR 0032	5 YR GROW NET INCOME/ACE	MD=9999999
REF 0032	LOC 196 WIDTH 7	DK 3 COL 68-74
	IMP DEC= 5	

Q.28 Five-year (1971-75) trend in growth: Net Income/Average Common Equity

-----

(CONTINUED)

$$ACE = [Equity (time t) + Equity (t-1)]/2$$

Trends computed as slopes of regression lines; indicated by unstandardized b's.

Actual number is coded.

99.99999 Missing Data

DECK IDENTIFICATION NUMBER IS '04'

DK 4 COL 1- 2

.....

VAR 0001	ICPSR STUDY #	NO MISSING DATA CODES
REF 0001	LOC 1 WIDTH 4	DK 4 COL 3- 6

ICPSR Study Number-7855

7855. The ICPSR has attached this number as a unique data collection identification number.

.....

VAR 0002	ICPSR EDITION #	NO MISSING DATA CODES
REF 0002	LOC 5 WIDTH 1	DK 4 COL 7

ICPSR Edition Number-2

2. The number identifying the release edition of the data collection.

.....

VAR 0003	ICPSR PART #	NO MISSING DATA CODES
REF 0003	LOC 6 WIDTH 1	DK 4 COL 8

ICPSR Part Number-1

1. The first part of a two-part data collection.

VAR 0004            ICPSR CASE ID            NO MISSING DATA CODES  
REF 0004            LOC    7 WIDTH 3            DK    4 COL 9-11

ICPSR Sequential Case Identification Number  
-----

The ICPSR has attached a sequential identification number to every case. This number uniquely identifies each record in the data collection.

.....

VAR 0033            5 YR GROW EBIT/TOT ASSET            MD=9999999  
REF 0033            LOC    203 WIDTH 7            DK    4 COL 12-18  
IMP DEC= 6

Q.29 Five-year (1971-75) trend in growth: EBIT/Total Assets  
-----

[EBIT = COMPUSTAT variables  
Net Income + Income Taxes + Minority Interest + Interest  
Expense]

Trends computed as slopes of regression lines; indicated by unstandardized b's.

Actual number is coded.

9.999999 Missing Data  
.....

VAR 0034            5 YR GROW DEBT/ASSETS            MD=9999999  
REF 0034            LOC    210 WIDTH 7            DK    4 COL 19-25  
IMP DEC= 6

Q.30 Five-year (1971-75) trend in growth: Total Debt/Total Assets  
-----

[Total Debt = Long-term Debt + Current Liabilities]

Trends computed as slopes of regression lines; indicated by unstandardized b's.

Actual number is coded.

(CONTINUED)

## 9.999999 Missing Data

.....

VAR 0035	5 YR GROW INCOME/ASSETS	MD=9999999
REF 0035	LOC 217 WIDTH 7	DK 4 COL 26-32
	IMP DEC= 6	

Q.31 Five-year (1971-75) trend in growth: Net Income@(time t)/Total Assets@(t-1)

-----

Trends computed as slopes of regression lines; indicated by unstandardized b's.

Actual number is coded.

## 9.999999 Missing Data

.....

VAR 0036	5 YR GROW SALES/LT ASSET	MD=9999999
REF 0036	LOC 224 WIDTH 7	DK 4 COL 33-39
	IMP DEC= 5	

Q.32 Five-year (1971-75) trend in growth: Sales/Long-term Assets

-----

[Long-term Assets = Total Assets - Current Assets]  
[Logged 5-year mean]

Trends computed as slopes of regression lines; indicated by unstandardized b's.

Actual number is coded.

## 99.999999 Missing Data

.....

VAR 0037	5 YR GROW SALES/ASSETS	MD=9999999
REF 0037	LOC 231 WIDTH 7	DK 4 COL 40-46
	IMP DEC= 6	

Q.33 Five-year (1971-75) trend in growth: Sales/Total Assets

-----

(CONTINUED)

Trends computed as slopes of regression lines; indicated by unstandardized b's.

Actual number is coded.

9.999999 Missing Data

.....

VAR 0038	5 YR GROW MAR VAL/BK VAL	MD=9999999
REF 0038	LOC 238 WIDTH 7	DK 4 COL 47-53
	IMP DEC= 4	

Q.34 Five-year (1971-75) trend in growth: Market Value  
Equity/Book Value

-----

Total Debt  
[Price-close X Common Shares Outstanding/Long-term Debt +  
Current Liabilities] [Logged 5-year mean]

Trends computed as slopes of regression lines; indicated by unstandardized b's.

Actual number is coded.

999.9999 Missing Data

.....

VAR 0039	5 YR GROW RE EARN/ASSETS	MD=9999999
REF 0039	LOC 245 WIDTH 7	DK 4 COL 54-60
	IMP DEC= 6	

Q.35 Five-year (1971-75) trend in growth: Retained  
Earnings/Total Assets

-----

Trends computed as slopes of regression lines; indicated by unstandardized b's.

Actual number is coded.

9.999999 Missing Data

VAR 0040      5 YR GROW NWC/TOT ASSETS      MD=9999999  
 REF 0040      LOC 252 WIDTH 7      DK 4 COL 61-67  
                          IMP DEC= 6

Q.36 Five-year (1971-75) trend in growth: Net Working  
 Capital/Total Assets  
 -----

[NWC = Current Assets - Current Liabilities]

Trends computed as slopes of regression lines; indicated by  
 unstandardized b's.

Actual number is coded.

9.999999 Missing Data  
 .....

VAR 0041      5 YR GROW ASSET/EMPLOYEE      MD=9999999  
 REF 0041      LOC 259 WIDTH 7      DK 4 COL 68-74  
                          IMP DEC= 4

Q.37 Five-year (1971-75) trend in growth: Assets/Employees  
 -----

[Logged 5-year mean]

Trends computed as slopes of regression lines; indicated by  
 unstandardized b's.

Actual number is coded.

999.9999 Missing Data  
 .....

VAR 0042      INDUSTRY CODES      NO MISSING DATA CODES  
 REF 0042      LOC 266 WIDTH 2      DK 4 COL 75-76

Q.38 Primary manufacturing industry in which the firm  
 operates, as determined by sales. Industry codes are  
 two-digit Standard Industrial Classification codes.  
 -----

For SIC code documentation see:

(CONTINUED)

U.S. Dept. of Commerce, Bureau of Census  
1972 CENSUS OF MANUFACTURERS Volume I Appendix B

Actual number is coded.

DECK IDENTIFICATION NUMBER IS '05'

DK 5 COL 1- 2

.....

VAR 0001	ICPSR STUDY #	NO MISSING DATA CODES
REF 0001	LOC 1 WIDTH 4	DK 5 COL 3- 6

ICPSR Study Number-7855

7855. The ICPSR has attached this number as a unique  
data collection identification number.

.....

VAR 0002	ICPSR EDITION #	NO MISSING DATA CODES
REF 0002	LOC 5 WIDTH 1	DK 5 COL 7

ICPSR Edition Number-2

2. The number identifying the release edition of the  
data collection.

.....

VAR 0003	ICPSR PART #	NO MISSING DATA CODES
REF 0003	LOC 6 WIDTH 1	DK 5 COL 8

ICPSR Part Number-1

1. The first part of a two-part data collection.



VAR 0004 ICPSR CASE ID NO MISSING DATA CODES  
 REF 0004 LOC 7 WIDTH 3 DK 5 COL 9-11

ICPSR Sequential Case Identification Number  
 -----

The ICPSR has attached a sequential identification number to every case. This number uniquely identifies each record in the data collection.

.....

VAR 0043 SIZE OF FIRM: SALES MD=9900000  
 REF 0043 LOC 268 WIDTH 7 DK 5 COL 12-18  
 IMP DEC= 5

Q.39 Logged values for mean size of firm in the corporation's primary industry, based on aggregated 5-year (1971-75) company data: Sales

-----

Actual number is coded.

99.00000 Missing Data

.....

VAR 0044 SIZE OF FIRM: ASSETS MD=9900000  
 REF 0044 LOC 275 WIDTH 7 DK 5 COL 19-25  
 IMP DEC= 5

Q.40 Logged values for mean size of firm in the corporation's primary industry, based on aggregated 5-year (1971-75) company data: Assets

-----

Actual number is coded.

99.00000 Missing Data

.....

VAR 0045 SIZE OF FIRM: EMPLOYEES MD=9900000  
 REF 0045 LOC 282 WIDTH 7 DK 5 COL 26-32  
 IMP DEC= 5

Q.41 Logged values for mean size of firm in the

(CONTINUED)

corporation's primary industry, based on aggregated 5-year  
(1971-75) company data: Employees

---

Actual number is coded.

99.00000 Missing Data

---

VAR 0046      IND SCORE R&D EXP/SALES      MD=9999999  
REF 0046      LOC 289 WIDTH 7      DK 5 COL 33-39  
IMP DEC= 6

Q.42 Mean industry scores for corporation's primary  
industry. Based on aggregated five-year (1971-1975) company  
data: R&D Expenses/Sales

---

Actual number is coded.

9.999999 Missing Data

---

VAR 0047      IND SCORE LABOR EXP/SALE      MD=9999999  
REF 0047      LOC 296 WIDTH 7      DK 5 COL 40-46  
IMP DEC= 6

Q.43 Mean industry scores for corporation's primary  
industry. Based on aggregated five-year (1971-1975) company  
data: Labor Expenses/Sales

---

Actual number is coded.

9.999999 Missing Data

---

VAR 0048      IND SCORE NET INCOME/SAL      MD=9999999  
REF 0048      LOC 303 WIDTH 7      DK 5 COL 47-53  
IMP DEC= 6

Q.44 Mean industry scores for corporation's primary  
industry. Based on aggregated five-year (1971-1975) company  
data: Net Income/Sales

---

(CONTINUED)

Actual number is coded.

9.999999 Missing Data

.....

VAR 0049	IND SCORE INCOME/TOT ASS	MD=9999999
REF 0049	LOC 310 WIDTH 7	DK 5 COL 54-60
	IMP DEC= 6	

Q.45 Mean industry scores for corporation's primary industry. Based on aggregated five-year (1971-1975) company data: Net Income/Total Assets

-----

Actual number is coded.

9.999999 Missing Data

.....

VAR 0050	IND SCORE EARNINGS/SHARE	MD=9900000
REF 0050	LOC 317 WIDTH 7	DK 5 COL 61-67
	IMP DEC= 5	

Q.46 Mean industry scores for corporation's primary industry. Based on aggregated five-year (1971-1975) company data: Earnings/Share

-----

Actual number is coded.

99.00000 Missing Data

.....

VAR 0051	IND SCORE NET INCOME/ACE	MD=9999999
REF 0051	LOC 324 WIDTH 7	DK 5 COL 68-74
	IMP DEC= 6	

Q.47 Mean industry scores for corporation's primary industry. Based on aggregated five-year (1971-1975) company data: Net Income/Average Common Equity

-----

$$[ACE = \text{Equity}(\text{time } t) + \text{Equity}(t-1)]/2$$

(CONTINUED)

Actual number is coded.

9.999999 Missing Data

DECK IDENTIFICATION NUMBER IS '06'

DK 6 COL 1- 2

.....

VAR 0001	ICPSR STUDY #	NO MISSING DATA CODES
REF 0001	LOC 1 WIDTH 4	DK 6 COL 3- 6

ICPSR Study Number-7855

-----

7855. The ICPSR has attached this number as a unique  
data collection identification number.

.....

VAR 0002	ICPSR EDITION #	NO MISSING DATA CODES
REF 0002	LOC 5 WIDTH 1	DK 6 COL 7

ICPSR Edition Number-2

-----

2. The number identifying the release edition of the  
data collection.

.....

VAR 0003	ICPSR PART #	NO MISSING DATA CODES
REF 0003	LOC 6 WIDTH 1	DK 6 COL 8

ICPSR Part Number-1

-----

1. The first part of a two-part data collection.

VAR 0004 ICPSR CASE ID NO MISSING DATA CODES  
 REF 0004 LOC 7 WIDTH 3 DK 6 COL 9-11

# ICPSR Sequential Case Identification Number

The ICPSR has attached a sequential identification number to every case. This number uniquely identifies each record in the data collection.

VAR 0052 IND SCORE EBIT/TOT ASSET MD=9999999  
 REF 0052 LOC 331 WIDTH 7 DK 6 COL 12-18  
 IMP DEC= 6

Q.48 Mean industry scores for corporation's primary industry. Based on aggregated five-year (1971-1975) company data: EBIT/Total Assets

[EBIT=COMPUSTAT Variables  
 Net Income + Income Taxes + Minority Interest + Interest Expense]

Actual number is coded.

9.999999 Missing Data

VAR 0053 IND SCORE DEBT/ASSETS MD=9000000  
 REF 0053 LOC 338 WIDTH 7 DK 6 COL 19-25  
 IMP DEC= 6

Q.49 Mean industry scores for corporation's primary industry. Based on aggregated five-year (1971-1975) company data: Total Debt/Total Assets

[Total Debt=Long-term Debt + Current Liabilities]

Actual number is coded.

9.000000 Missing Data

VAR 0054      IND SCORE INCOME/ASSETS      MD=99999999  
 REF 0054      LOC 345 WIDTH 7      DK 6 COL 26-32  
                          IMP DEC= 6

Q.50 Mean industry scores for corporation's primary  
 industry. Based on aggregated five-year (1971-1975)  
 aggregated five-year: Net Income@(time t)/Total  
 Assests@(t-1)

---

Actual number is coded.

9.999999 Missing Data

---

VAR 0055      IND SCORE SALES/LT ASSET      MD=99999999  
 REF 0055      LOC 352 WIDTH 7      DK 6 COL 33-39  
                          IMP DEC= 5

Q.51 Mean industry scores for corporation's primary  
 industry. Based on aggregated five-year (1971-1975) company  
 data: Sales/Long-term Assets

---

[Long-term Assets=Total Assets - Current Assets]  
 [Logged five-year mean]

Actual number is coded.

99.999999 Missing Data

---

VAR 0056      IND SCORE SALES/ASSETS      MD=99999999  
 REF 0056      LOC 359 WIDTH 7      DK 6 COL 40-46  
                          IMP DEC= 5

Q.52 Mean industry scores for corporation's primary  
 industry. Based on aggregated five-year (1971-1975) company  
 data: Sales/Total Assets

---

Actual number is coded.

99.999999 Missing Data

VAR 0057            IND SCORE MAR VAL/BK VAL            MD=9999999  
 REF 0057            LOC 366 WIDTH 7            DK 6 COL 47-53  
                                  IMP DEC= 6

Q.53 Mean industry scores for corporation's primary  
 industry. Based on aggregated five-year (1971-1975) company  
 data: Market Value Equity/Book Value  
 -----

Total Debt  
 [Price-close x Common Shares Outstanding/Long term Debt +  
 Current Liabilities  
 [Logged five-year mean]

Actual number is coded.

9.999999 Missing Data  
 .....

VAR 0058            IND SCORE RE EARN/ASSETS            MD=9000000  
 REF 0058            LOC 373 WIDTH 7            DK 6 COL 54-60  
                                  IMP DEC= 6

Q.54 Mean industry scores for corporation's primary  
 industry. Based on aggregated five-year (1971-1975) company  
 data: Retained Earnings/Total  
 -----

Actual number is coded.

9.000000 Missing Data  
 .....

VAR 0059            IND SCORE NWC/TOT ASSETS            MD=9000000  
 REF 0059            LOC 380 WIDTH 7            DK 6 COL 61-67  
                                  IMP DEC= 6

Q.55 Mean industry scores for corporation's primary  
 industry. Based on aggregated five-year (1971-1975) company  
 data: Net Working Capital/Total Assets  
 -----

[NWC=Current Assets - Current Liabilities]

Actual number is coded.

(CONTINUED)

9.000000 Missing Data

.....

VAR 0060	IND SCORE ASSET/EMPLOYEE	MD=99000000
REF 0060	LOC 387 WIDTH 7	DK 6 COL 68-74
	IMP DEC= 5	

Q.56 Mean industry scores for corporation's primary industry. Based on aggregated five-year (1971-1975) company data: Assets/Employees [Logged five-year mean]

-----

Actual number is coded.

99.000000 Missing Data

DECK IDENTIFICATION NUMBER IS '07' DK 7 COL 1- 2

-----

.....

VAR 0001	ICPSR STUDY #	NO MISSING DATA CODES
REF 0001	LOC 1 WIDTH 4	DK 7 COL 3- 6

ICPSR Study Number-7855

-----

7855. The ICPSR has attached this number as a unique data collection identification number.

.....

VAR 0002	ICPSR EDITION #	NO MISSING DATA CODES
REF 0002	LOC 5 WIDTH 1	DK 7 COL 7

ICPSR Edition Number-2

-----

2. The number identifying the release edition of the data collection.



VAR 0003      ICPSR PART #      NO MISSING DATA CODES  
REF 0003      LOC    6 WIDTH   1      DK    7 COL   8

ICPSR Part Number-1  
-----

1. The first part of a two-part data collection.

.....  
VAR 0004      ICPSR CASE ID      NO MISSING DATA CODES  
REF 0004      LOC    7 WIDTH   3      DK    7 COL   9-11

ICPSR Sequential Case Identification Number  
-----

The ICPSR has attached a sequential identification number to every case. This number uniquely identifies each record in the data collection.

.....  
VAR 0061      IND GROWTH TREND: SALES      MD=9999999  
REF 0061      LOC   394 WIDTH   7      DK    7 COL 12-18  
IMP DEC=   6

Q.57 Industry growth trends for corporation's primary industry. Based on aggregated five-year (1971-1975) company data: Sales  
-----

Unstandardized b's used to indicate trends  
Yearly values logged before trends computed

Actual number is coded.

9.999999 Missing Data  
-----

VAR 0062      IND GROWTH TREND: ASSETS      MD=9999999  
REF 0062      LOC   401 WIDTH   7      DK    7 COL 19-25  
IMP DEC=   6

Q.58 Industry growth trends for corporation's primary industry based on aggregated five-year (1971-1975) company

(CONTINUED)

data: Assets

Unstandardized b's used to indicate trends  
Yearly values logged before trends computed

Actual number is coded.

9.999999 Missing Data

.....

VAR 0063	IND GROWTH TREND: EMPLOY	MD=99999999
REF 0063	LOC 408 WIDTH 7	DK 7 COL 26-32
	IMP DEC= 6	

Q.59 Industry growth trends for corporation's primary  
industry based on aggregated five-year (1971-1975) company  
data: Employees

Unstandardized b's used to indicate trend  
Yearly values logged before trends computed

Actual number is coded.

9.999999 Missing Data

.....

VAR 0064	IND GROW R&D EXP/SALES	MD=99999999
REF 0064	LOC 415 WIDTH 7	DK 7 COL 33-39
	IMP DEC= 6	

Q.60 Industry growth trends for corporation's primary  
industry. Based on aggregated five-year (1971-1975) company  
data: R&D Expenses/Sales

Unstandardized b's used to indicate trends

Actual number is coded.

9.999999 Missing Data

VAR 0065      IND GROW LABOR EXP/SALE      MD=9999999  
 REF 0065      LOC 422 WIDTH 7      DK 7 COL 40-46  
                                  IMP DEC= 6

Q.61 Industry growth trends for corporation's primary  
 industry. Based on aggregated five-year (1971-1975) company  
 data: Labor Expenses/Sales

---

Unstandardized b's used to indicate trends

Actual number is coded.

9.999999 Missing Data

---

VAR 0066      IND GROW NET INCOME/SAL      MD=9999999  
 REF 0066      LOC 429 WIDTH 7      DK 7 COL 47-53  
                                  IMP DEC= 6

Q.62 Industry growth trends for corporation's primary  
 industry. Based on aggregated five-year (1971-1975) company  
 data: Net Income/Sales

---

Unstandardized b's used to indicate trends

Actual number is coded.

9.999999 Missing Data

---

VAR 0067      IND GROW INCOME/TOT ASS      MD=9999999  
 REF 0067      LOC 436 WIDTH 7      DK 7 COL 54-60  
                                  IMP DEC= 6

Q.63 Industry growth trends for corporation's primary  
 industry. Based on aggregated five-year (1971-1975) company  
 data: Net Income/Total Assets

---

Unstandardized b's used to indicate trends

Actual number is coded.

(CONTINUED)

9.999999 Missing Data

.....

VAR 0068	IND GROW EARNINGS/SHARE	MD=99999999
REF 0068	LOC 443 WIDTH 7	DK 7 COL 61-67
	IMP DEC= 6	

Q.64 Industry growth trends for corporation's primary industry. Based on aggregated five-year (1971-1975) company data: Earnings/Share

-----

Unstandardized b's used to indicate trends

Actual number is coded.

9.999999 Missing Data

.....

VAR 0069	IND GROW NET INCOME/ACE	MD=99999999
REF 0069	LOC 450 WIDTH 7	DK 7 COL 68-74
	IMP DEC= 6	

Q.65 Industry growth trends for corporation's primary industry. Based on aggregated five-year (1971-1975) company data: Net Income/Average Common Equity

-----

[ACE=Equity(time t) + Equity(t-1)/2]  
Unstandardized b's used to indicate trends

Actual number is coded.

9.999999 Missing Data

DECK IDENTIFICATION NUMBER IS '08' DK 8 COL 1- 2

-----

.....

VAR 0001	ICPSR STUDY #	NO MISSING DATA CODES
REF 0001	LOC 1 WIDTH 4	DK 8 COL 3- 6

ICPSR Study Number-7855

-----

(CONTINUED)

7855. The ICPSR has attached this number as a unique data collection identification number.

.....

VAR 0002	ICPSR EDITION #	NO MISSING DATA CODES
REF 0002	LOC 5 WIDTH 1	DK 8 COL 7

#### ICPSR Edition Number-2

2. The number identifying the release edition of the data collection.

.....

VAR 0003	ICPSR PART #	NO MISSING DATA CODES
REF 0003	LOC 6 WIDTH 1	DK 8 COL 8

#### ICPSR Part Number-1

1. The first part of a two-part data collection.

.....

VAR 0004	ICPSR CASE ID	NO MISSING DATA CODES
REF 0004	LOC 7 WIDTH 3	DK 8 COL 9-11

#### ICPSR Sequential Case Identification Number

The ICPSR has attached a sequential identification number to every case. This number uniquely identifies each record in the data collection.

.....

VAR 0070	IND GROW EBIT/TOT ASSET	MD=9999999
REF 0070	LOC 457 WIDTH 7	DK 8 COL 12-18
	IMP DEC= 6	

Q.66 Industry growth trends for corporation's primary

(CONTINUED)

industry. Based on aggregated five-year (1971-1975) company data: EBIT/Total Assets

---

[EBIT=COMPUSTAT variables  
Net Income + Income Taxes + Minority Interest + Interest  
Expense]  
Unstandardized b's used to indicate trends

Actual number is coded.

9.999999 Missing Data

---

VAR 0071      IND GROW DEBT/ASSETS      MD=9999999  
REF 0071      LOC 464 WIDTH 7      DK 8 COL 19-25  
IMP DEC= 6

Q.67 Industry growth trends for corporation's primary industry. Based on aggregated five-year (1971-1975) company data: Total Debt/Total Assets

---

[Total Debt=Long-term Debt + Current Liabilities]  
Unstandardized b's used to indicate trends

Actual number is coded.

9.999999 Missing Data

---

VAR 0072      IND GROW INCOME/ASSETS      MD=9999999  
REF 0072      LOC 471 WIDTH 7      DK 8 COL 26-32  
IMP DEC= 6

Q.68 Industry growth trends for corporation's primary industry. Based on aggregated five-year (1971-1975) company data: Net Income@(time t)/Total Assets@(t-1)

---

Unstandardized b's used to indicate trends

Actual number is coded.

9.999999 Missing Data

VAR 0073      IND GROW SALES/LT ASSET      MD=9999999  
 REF 0073      LOC 478 WIDTH 7      DK 8 COL 33-39  
 IMP DEC= 6

Q.69 Industry growth trends for corporation's primary industry. Based on aggregated five-year (1971-1975) company data: Sales/Long-term Assets

---

[Long-term Assets=Total Assets - Current Assets]  
 [Logged five-year mean]  
 Unstandardized b's used to indicate trends

Actual number is coded.

9.999999 Missing Data

---

VAR 0074      IND GROW SALES/ASSETS      MD=9999999  
 REF 0074      LOC 485 WIDTH 7      DK 8 COL 40-46  
 IMP DEC= 6

Q.70 Industry growth trends for corporation's primary industry. Based on aggregated five-year (1971-1975) company data: Sales/Total Assets

---

Unstandardized b's used to indicate trends

Actual number is coded.

9.999999 Missing Data

---

VAR 0075      IND GROW MAR VAL/BK VAL      MD=9999999  
 REF 0075      LOC 492 WIDTH 7      DK 8 COL 47-53  
 IMP DEC= 5

Q.71 Industry growth trends for corporation's primary industry. Based on aggregated five-year (1971-1975) company data: Market Value Equity/Book Value

---

Total Debt

[Price-close x Common Shares Outstanding/Long-term Debt +  
 Current Liabilities]

(CONTINUED)

[Logged five-year mean]

Unstandardized b's used to indicate trends

Actual number is coded.

99.99999 Missing Data

.....

VAR 0076	IND GROW RE EARN/ASSETS	MD=99999999
REF 0076	LOC 499 WIDTH 7	DK 8 COL 54-60
	IMP DEC= 6	

Q.72 Industry growth trends for corporation's primary  
industry. Based on aggregated five-year (1971-1975) company  
data: Retained Earnings/Total Assets

-----

Unstandardized b's used to indicate trends

Actual number is coded.

9.999999 Missing Data

.....

VAR 0077	IND GROW NWC/TOT ASSETS	MD=99999999
REF 0077	LOC 506 WIDTH 7	DK 8 COL 61-67
	IMP DEC= 6	

Q.73 Industry growth trends for corporation's primary  
industry. Based on aggregated five-year (1971-1975) company  
data: Net Working Capital/Total Assets

-----

[NWC=Current Assets - Current Liabilities]

Unstandardized b's used to indicate trends

Actual number is coded.

9.999999 Missing Data



VAR 0078            IND GROW ASSET/EMPLOYEE            MD=9999999  
 REF 0078            LOC 513 WIDTH 7            DK 8 COL 68-74  
                          IMP DEC= 4

Q.74 Industry growth trends for corporation's primary  
 industry. Based on aggregated five-year (1971-1975) company  
 data: Assets/Employees  
 -----

[Logged five-year mean]  
 Unstandardized b's used to indicate trends

Actual number is coded.

999.9999 Missing Data

DECK IDENTIFICATION NUMBER IS '09'            DK 9 COL 1- 2  
 -----

.....  
 VAR 0001            ICPSR STUDY #            NO MISSING DATA CODES  
 REF 0001            LOC 1 WIDTH 4            DK 9 COL 3- 6

ICPSR Study Number-7855  
 -----

7855. The ICPSR has attached this number as a unique  
 data collection identification number.

.....  
 VAR 0002            ICPSR EDITION #            NO MISSING DATA CODES  
 REF 0002            LOC 5 WIDTH 1            DK 9 COL 7

ICPSR Edition Number-2  
 -----

2. The number identifying the release edition of the  
 data collection.

VAR 0003	ICPSR PART #	NO MISSING DATA CODES
REF 0003	LOC 6 WIDTH 1	DK 9 COL 8

### ICPSR Part Number-1

---

1. The first part of a two-part data collection.

VAR 0004	ICPSR CASE ID	NO MISSING DATA CODES
REF 0004	LOC 7 WIDTH 3	DK 9 COL 9-11

### ICPSR Sequential Case Identification Number

---

The ICPSR has attached a sequential identification number to every case. This number uniquely identifies each record in the data collection.

VAR 0079	PROPORT SALES: FOREIGN	MD=9999999
REF 0079	LOC 520 WIDTH 7	DK 9 COL 12-18
	IMP DEC= 6	

Q.75 Estimate of proportion of sales generated by a corporation's foreign subsidiaries. Based on EIS data for 1977.

---

Actual number is coded.

### 9.999999 Missing Data

---

VAR 0080	IND PROPOR SALE: FOREIGN	MD=9999999
REF 0080	LOC 527 WIDTH 7	DK 9 COL 19-25
	IMP DEC= 6	

Q.76 Mean proportion foreign sales by sample firms in corporation's primary industry. Based on aggregated individual firm data for 1977 (EIS)

---

(CONTINUED)

Actual number is coded.

9.999999 Missing Data

.....

[FOR Q.77 - Q.81; Q.83 - Q.104 --] For SIC code  
documentation see:

U.S. Dept. of Commerce, Bureau of Census,  
1972 CENSUS OF MANUFACTURERS Volume I Appendix B

.....

VAR 0081      FIRM DIVERSIFICATION: 1      MD=99999999  
REF 0081      LOC 534 WIDTH 7      DK 9 COL 26-32  
IMP DEC= 6

Q.77 Degree of firm diversification - 1

-----

Calculated by the formula  $1 - (\sum i P^2)$ , where P  
is the ratio of the firm's sales in the ith industry to the  
firm's total non-foreign sales. Industries indicated at the  
two-digit level of the SIC codes.

Actual number is coded.

9.999999 Missing Data

.....

VAR 0082      FIRM DIVERSIFICATION: 2      MD=99999999  
REF 0082      LOC 541 WIDTH 7      DK 9 COL 33-39  
IMP DEC= 5

Q.78 Degree of firm diversification - 2

-----

Calculated as Q.77 above, but with industries indicated at  
the four-digit level of the SIC codes.

Actual number is coded.

99.99999 Missing Data

VAR 0083      FIRM DIVERSIFICATION: 3      MD=9999999  
 REF 0083      LOC 548 WIDTH 7      DK 9 COL 40-46  
 IMP DEC= 6

Q.79 Degree of firm diversification - 3  
 -----

Calculated as Q.77 above, but based only on the firms' MANUFACTURING industry lines of operation (SIC types 20-39) and sales. Industries indicated at two-digit level of the SIC codes.

Actual number is coded.

9.999999 Missing Data  
 .....

VAR 0084      FIRM DIVERSIFICATION: 4      MD=9999999  
 REF 0084      LOC 555 WIDTH 7      DK 9 COL 47-53  
 IMP DEC= 6

Q.80 Degree of firm diversification - 4  
 -----

Calculated as Q.79 above, but with industries indicated at the four-digit level of the SIC codes.

Actual number is coded.

9.999999 Missing Data  
 .....

VAR 0085      AVE CONCENTRATION RATIO      MD=9000000  
 REF 0085      LOC 562 WIDTH 7      DK 9 COL 54-60  
 IMP DEC= 6

Q.81 Average concentration ratio in all the manufacturing industries (SIC types 20-39) in which the firm operated, weighted by the relative importance of each industry to the firm based on its sales in each four-digit SIC category.  
 -----

See ILLEGAL CORPORATE BEHAVIOR, 1979 Chapter VIII, pp. 158 for formula.

Actual number is coded.

(CONTINUED)

## 9.000000 Missing Data

.....

VAR 0086	RELATIVE FIRM DOMINANCE	MD=9999999
REF 0086	LOC 569 WIDTH 7	DK 9 COL 61-67
	IMP DEC= 6	

## Q.82 Relative firm dominance

-----

See ILLEGAL CORPORATE BEHAVIOR, 1979 Chapter VIII,  
pp. 159 for discussion.

Actual number is coded.

## 9.999999 Missing Data

.....

VAR 0087	# MANUFACTURE LINE OF BUS	MD=9999
REF 0087	LOC 576 WIDTH 4	DK 9 COL 68-71

## Q.83 Number of four-digit SIC MANUFACTURING

lines-of-business in which a firm operates

-----

Actual number is coded.

## 9999. Missing Data

.....

VAR 0088	# TOT LINES OF BUSINESS	MD=9999
REF 0088	LOC 580 WIDTH 4	DK 9 COL 72-75

## Q.84 TOTAL number of four-digit SIC lines-of-business in

which a firm operates

-----

Actual number is coded.

## 9999. Missing Data

VAR 0089  
REF 0089

INDUSTRY CODE: 20  
LOC 584 WIDTH 1

NO MISSING DATA CODES  
DK 9 COL 76

Q.85 Primary industry for SIC code 20  
-----

Dummy Variable

0. No  
1. Yes

VAR 0090  
REF 0090

INDUSTRY CODE: 21  
LOC 585 WIDTH 1

NO MISSING DATA CODES  
DK 9 COL 77

Q.86 Primary industry for SIC code 21  
-----

Dummy Variable

0. No  
1. Yes

VAR 0091  
REF 0091

INDUSTRY CODE: 22  
LOC 586 WIDTH 1

NO MISSING DATA CODES  
DK 9 COL 78

Q.87 Primary industry for SIC code 22  
-----

Dummy Variable

0. No  
1. Yes

VAR 0092  
REF 0092

INDUSTRY CODE: 23  
LOC 587 WIDTH 1

NO MISSING DATA CODES  
DK 9 COL 79

Q.88 Primary industry for SIC code 23  
-----

(CONTINUED)

1

Dummy Variable

- 0. No
- 1. Yes

.....

VAR 0093	INDUSTRY CODE: 24	NO MISSING DATA CODES
REF 0093	LOC 588 WIDTH 1	DK 9 COL 80

Q.89 Primary industry for SIC code 24

-----

Dummy Variable

- 0. No
- 1. Yes

DECK IDENTIFICATION NUMBER IS '10'

-----

DK 10 COL 1- 2

.....

VAR 0001	ICPSR STUDY #	NO MISSING DATA CODES
REF 0001	LOC 1 WIDTH 4	DK 10 COL 3- 6

ICPSR Study Number-7855

-----

7855. The ICPSR has attached this number as a unique  
data collection identification number.

.....

VAR 0002	ICPSR EDITION #	NO MISSING DATA CODES
REF 0002	LOC 5 WIDTH 1	DK 10 COL 7

ICPSR Edition Number-2

-----

2. The number identifying the release edition of the  
data collection.

VAR 0003	ICPSR PART #	NO MISSING DATA CODES
REF 0003	LOC 6 WIDTH 1	DK 10 COL 8

ICPSR Part Number-1

1. The first part of a two-part data collection.

VAR 0004	ICPSR CASE ID	NO MISSING DATA CODES
REF 0004	LOC 7 WIDTH 3	DK 10 COL 9-11

ICPSR Sequential Case Identification Number

The ICPSR has attached a sequential identification number to every case. This number uniquely identifies each record in the data collection.

VAR 0094	INDUSTRY CODE: 25	NO MISSING DATA CODES
REF 0094	LOC 589 WIDTH 1	DK 10 COL 12

Q.90 Primary industry for SIC code 25

Dummy Variable

0. No  
1. Yes

VAR 0095	INDUSTRY CODE: 26	NO MISSING DATA CODES
REF 0095	LOC 590 WIDTH 1	DK 10 COL 13

Q.91 Primary industry for SIC code 26

Dummy Variable

0. No



(CONTINUED)

1. Yes

.....

VAR 0096	INDUSTRY CODE: 27	NO MISSING DATA CODES
REF 0096	LOC 591 WIDTH 1	DK 10 COL 14

Q.92 Primary industry for SIC code 27

-----

Dummy Variable

0. No  
1. Yes

.....

VAR 0097	INDUSTRY CODE: 28	NO MISSING DATA CODES
REF 0097	LOC 592 WIDTH 1	DK 10 COL 15

Q.93 Primary industry for SIC code 28

-----

Dummy Variable

0. No  
1. Yes

.....

VAR 0098	INDUSTRY CODE: 29	NO MISSING DATA CODES
REF 0098	LOC 593 WIDTH 1	DK 10 COL 16

Q.94 Primary industry for SIC code 29

-----

Dummy Variable

0. No  
1. Yes

VAR 0099  
REF 0099

INDUSTRY CODE: 30  
LOC 594 WIDTH 1

NO MISSING DATA CODES  
DK 10 COL 17

Q.95 Primary industry for SIC code 30  
-----

Dummy Variable

0. No  
1. Yes

.....  
VAR 0100  
REF 0100

INDUSTRY CODE: 31  
LOC 595 WIDTH 1

NO MISSING DATA CODES  
DK 10 COL 18

Q.96 Primary industry for SIC code 31  
-----

Dummy Variable

0. No  
1. Yes

.....  
VAR 0101  
REF 0101

INDUSTRY CODE: 32  
LOC 596 WIDTH 1

NO MISSING DATA CODES  
DK 10 COL 19

Q.97 Primary industry for SIC code 32  
-----

Dummy Variable

0. No  
1. Yes

.....  
VAR 0102  
REF 0102

INDUSTRY CODE: 33  
LOC 597 WIDTH 1

NO MISSING DATA CODES  
DK 10 COL 20

Q.98 Primary industry for SIC code 33  
-----

(CONTINUED)

Dummy Variable

- 0. No
- 1. Yes

.....

VAR 0103	INDUSTRY CODE: 34	NO MISSING DATA CODES
REF 0103	LOC 598 WIDTH 1	DK 10 COL 21

Q.99 Primary industry for SIC code 34  
-----

Dummy Variable

- 0. No
- 1. Yes

.....

VAR 0104	INDUSTRY CODE: 35	NO MISSING DATA CODES
REF 0104	LOC 599 WIDTH 1	DK 10 COL 22

Q.100 Primary industry for SIC code 35  
-----

Dummy Variable

- 0. No
- 1. Yes

.....

VAR 0105	INDUSTRY CODE: 36	NO MISSING DATA CODES
REF 0105	LOC 600 WIDTH 1	DK 10 COL 23

Q.101 Primary industry for SIC code 36  
-----

Dummy Variable

- 0. No
- 1. Yes

VAR 0106            INDUSTRY CODE: 37            NO MISSING DATA CODES  
REF 0106            LOC 601 WIDTH 1            DK 10 COL 24

Q.102 Primary industry for SIC code 37  
-----

Dummy Variable

0. No  
1. Yes

.....  
VAR 0107            INDUSTRY CODE: 38            NO MISSING DATA CODES  
REF 0107            LOC 602 WIDTH 1            DK 10 COL 25

Q.103 Primary industry for SIC code 38  
-----

Dummy Variable

0. No  
1. Yes

.....  
VAR 0108            INDUSTRY CODE: 39            NO MISSING DATA CODES  
REF 0108            LOC 603 WIDTH 1            DK 10 COL 26

Q.104 Primary industry for SIC code 39  
-----

Dummy Variable

0. No  
1. Yes

.....  
[FOR Q.105 - Q.124 -- ] Note that these variables are not  
measures of number of violations charged, but of legal  
actions taken. A legal action may charge several  
violations.

VAR 0109      TOT LEGAL ACTIONS      NO MISSING DATA CODES  
 REF 0109      LOC 604 WIDTH 2      DK 10 COL 27-28

Q.105 Total number of SEPARATE legal actions brought  
 against the corporation - 1  
 -----

See ILLEGAL CORPORATE BEHAVIOR, 1979 Chapter V, pp. 65  
 for discussion of "Unit of Analysis."

Actual number is coded.  
 .....

VAR 0110      TOT LEGAL ACTIONS AFT 73      NO MISSING DATA CODES  
 REF 0110      LOC 606 WIDTH 2      DK 10 COL 29-30

Q.106 Total number of SEPARATE legal actions brought  
 against the corporation - 2  
 -----

Same as Q.105, except that those legal actions involving  
 violations known to have occurred in 1973 or before are  
 excluded

Actual number is coded.  
 .....

VAR 0111      TOT UNIQUE LEGAL ACTIONS      NO MISSING DATA CODES  
 REF 0111      LOC 608 WIDTH 2      DK 10 COL 31-32

Q.107 Total number of SEPARATE legal actions brought  
 against the corporation - 3  
 -----

Same as Q.105, but excluding those involving types of  
 violations that are unique to particular industries (e.g.,  
 product quality and safety violations, oil spills, etc.)

Actual number is coded.

VAR 0112            UNIQUE LEGAL ACT AFT 73            NO MISSING DATA CODES  
 REF 0112            LOC 610 WIDTH 2                    DK 10 COL 33-34

Q.108 Total number of SEPARATE legal actions brought  
 against the corporation - 4  
 -----

Same as Q.107, but in addition excludes those involving  
 violations known to have occurred in 1973 or before

Actual number is coded.  
 .....

VAR 0113            TOT LEGAL ACTIONS: SER            NO MISSING DATA CODES  
 REF 0113            LOC 612 WIDTH 2                    DK 10 COL 35-36

Q.109 Total number of SEPARATE legal actions brought  
 against the corporation - 5  
 -----

Includes only those involving violations ranked serious or  
 moderately serious in nature. For distinctions in  
 seriousness, see ILLEGAL CORPORATE BEHAVIOR, 1979  
 Chapter V.

Actual number is coded.  
 .....

VAR 0114            SER LEGAL ACTIONS AFT 73            NO MISSING DATA CODES  
 REF 0114            LOC 614 WIDTH 2                    DK 10 COL 37-38

Q.110 Total number of SEPARATE legal actions brought  
 against the corporation - 6  
 -----

Same as Q.109, except that those legal actions involving  
 violations known to have occurred in 1973 or before are  
 excluded.

Actual number is coded.

VAR 0115      SER UNIQUE LEGAL ACTIONS      NO MISSING DATA CODES  
 REF 0115      LOC 616 WIDTH 2      DK 10 COL 39-40

Q.111 Total number of SEPARATE legal actions brought  
 against the corporation - 7  
 -----

Same as Q.109, but excluding those involving types of  
 violations that are unique to particular industries (e.g.,  
 product quality and safety violations, oil spills, etc.).

Actual number is coded.  
 .....

VAR 0116      SER UNIQ LEG ACT AFT 73      NO MISSING DATA CODES  
 REF 0116      LOC 618 WIDTH 1      DK 10 COL 41

Q.112 Total number of SEPARATE legal actions brought  
 against the corporation - 8  
 -----

Same as Q.111, but in addition excludes those involving  
 violations known to have occurred in 1973 or before.

Actual number is coded.  
 .....

VAR 0117      LEGAL ACTION: ADMINISTRA      NO MISSING DATA CODES  
 REF 0117      LOC 619 WIDTH 1      DK 10 COL 42

Q.113 Number of SEPARATE legal actions involving  
 ADMINISTRATIVE type violations; excludes types unique to  
 particular industries and those actions involving violations  
 known to have occurred in 1973 or before.  
 -----

See ILLEGAL CORPORATE BEHAVIOR, 1979 Chapter V for  
 discussion of types of violations.

Actual number is coded.

VAR 0118      SER LEGAL ACTION: ADMIN      NO MISSING DATA CODES  
REF 0118      LOC 620 WIDTH 1      DK 10 COL 43

Q.114 Number of SEPARATE legal actions involving  
ADMINISTRATIVE type violations; excludes types unique to  
particular industries and those actions involving violations  
known to have occurred in 1973 or before. Includes only  
those legal actions involving violations ranked serious or  
moderately serious.

-----

Actual number is coded.

.....

VAR 0119      LEGAL ACTION: ENVIRONMEN      NO MISSING DATA CODES  
REF 0119      LOC 621 WIDTH 1      DK 10 COL 44

Q.115 Number of SEPARATE legal actions involving  
ENVIRONMENTAL type violations; excludes types unique to  
particular industries and those actions involving violations  
known to have occurred in 1973 or before.

-----

Actual number is coded.

.....

VAR 0120      SER LEGAL ACTION: ENVIRO      NO MISSING DATA CODES  
REF 0120      LOC 622 WIDTH 1      DK 10 COL 45

Q.116 Number of SEPARATE legal actions involving  
ENVIRONMENTAL type violations; excludes types unique to  
particular industries and those actions involving violations  
known to have occurred in 1973 or before. Includes only  
those legal actions involving violations ranked serious or  
moderately serious.

-----

Actual number is coded.



VAR 0121      LEGAL ACTION: FINANCIAL      NO MISSING DATA CODES  
 REF 0121      LOC 623 WIDTH 1      DK 10 COL 46

Q.117 Number of SEPARATE legal actions involving FINANCIAL type violations; excludes types unique to particular industries and those actions involving violations known to have occurred in 1973 or before.

-----

Actual number is coded.

.....

VAR 0122      SER LEGAL ACTION: FINANC      NO MISSING DATA CODES  
 REF 0122      LOC 624 WIDTH 1      DK 10 COL 47

Q.118 Number of SEPARATE legal actions involving FINANCIAL type violations; excludes types unique to particular industries and those actions involving violations known to have occurred in 1973 or before. Includes only those legal actions involving violations ranked serious or moderately serious.

-----

Actual number is coded.

.....

VAR 0123      LEGAL ACTION: LABOR      NO MISSING DATA CODES  
 REF 0123      LOC 625 WIDTH 1      DK 10 COL 48

Q.119 Number of SEPARATE legal actions involving LABOR type violations; excludes types unique to particular industries and those actions involving violations known to have occurred in 1973 or before.

-----

Actual number is coded.

.....

VAR 0124      SER LEGAL ACTION: LABOR      NO MISSING DATA CODES  
 REF 0124      LOC 626 WIDTH 1      DK 10 COL 49

Q.120 Number of SEPARATE legal actions involving LABOR type violations; excludes types unique to particular industries

(CONTINUED)

and those actions involving violations known to have occurred in 1973 or before. Includes only those legal actions involving violations ranked serious or moderately serious.

---

Actual number is coded.

---

VAR 0125	LEGAL ACTION: MANUFACTOR	NO MISSING DATA CODES
REF 0125	LOC 627 WIDTH 2	DK 10 COL 50-51

Q.121 Number of SEPARATE legal actions involving MANUFACTURING type violations, brought against the corporations, excluding types unique to particular industries and those actions involving violations known to have occurred in 1973 or before.

---

Actual number is coded.

---

VAR 0126	SER LEGAL ACTION: MANUFA	NO MISSING DATA CODES
REF 0126	LOC 629 WIDTH 2	DK 10 COL 52-53

Q.122 Number of SEPARATE legal actions involving MANUFACTURING type violation, brought against the corporation, excluding types unique to particular industries and those actions involving violations known to have occurred in 1973 or before. Includes only those legal actions involving violations ranked serious or moderately serious.

---

Actual number is coded.

---

VAR 0127	LEGAL ACTION: UNFAIR TRA	NO MISSING DATA CODES
REF 0127	LOC 631 WIDTH 1	DK 10 COL 54

Q.123 Number of SEPARATE legal actions involving UNFAIR TRADE PRACTICES

---

(CONTINUED)

Actual number is coded.

.....  
VAR 0128      LEG ACT:UNFAIR TRADE>73      NO MISSING DATA CODES  
REF 0128      LOC 632 WIDTH 1      DK 10 COL 55

Q.124 Number of SEPARATE legal actions involving UNFAIR  
TRADE PRACTICES; excludes legal actions involving violations  
known to have occurred in 1973 or before  
-----

Actual number is coded.

PART 2: VIOLATIONS/SANCTIONS FILE

ILLEGAL CORPORATE BEHAVIOR, 1975-1976

## DATA COLLECTION DESCRIPTION

This study represents the first large-scale comprehensive investigation of corporate violations of law. It examines the extent and nature of these illegal activities, the internal corporate structure and the economic setting in which the violations occurred. The study concentrates on an empirical investigation of the 582 largest publicly owned corporations in the United States: 477 manufacturing, 18 wholesale, 66 retail and 21 service. The 1975 annual sales of the corporations studied range from \$300 million to more than \$45 billion, with an average sales volume of \$1.7 billion for parent firms. Corporations in banking, insurance, transportation, communication and utilities have been excluded because of the unusual nature of these businesses (i.e., they are subject to strict regulation and/or licensing). Data covered all enforcement actions that could be secured, initiated or imposed by 24 federal agencies during 1975 and 1976. In addition to the collection of data on the corporate illegal activity, the researchers also collected corporate and industry-level economic data which is presented in PART 1: ECONOMIC ANALYSIS DATA FILE.

The Violations/Sanctions File documents the number of violations alleged and sanctions imposed (up to 5) against a corporation and its subsidiaries. The researchers used a four-tiered design for the coding description of violations and sanction actions, with each successive level representing greater detail. Variables include the source of information, level of government involved, the agency initiating the action, date the action was initiated, seriousness of violation, amount of violation, seriousness of sanction, agency or court taking action, and date of decision or present status of case.

## DATA COLLECTION PROCEDURES

This file used four main sources of data, although even they did not provide complete information on all corporate violations and enforcement actions as each source had certain limitations. According to the researchers the findings probably represent at least a one third undercount of actual government actions against corporations. The four sources are as follows:

- [1] Data obtained directly from federal agencies on enforcement actions taken against the corporations in the sample.
- [2] Law Service Reports (principally those of Commerce Clearinghouse and the Bureau of National Affairs) which give decisions involving corporation cases in such areas as antitrust, consumer product safety, and environmental pollution.
- [3] Annual corporation financial reports (Forms 10-k) prepared for the SEC, which include a section on legal proceedings initiated against the firms.
- [4] A computer print-out of abstracts of enforcement proceedings involving corporations that have been in THE NEW YORK TIMES, THE WALL STREET JOURNAL, and the leading trade journals.

Data for the 2,052 records of federal cases were obtained from 2,571 pieces of information, an average of 1.25 sources per case. Agency published data were the most productive sources. They were used in 40 percent of all cases, and in 41.9 percent of the serious or moderate cases. The most useful sources were unpublished data obtained directly from agencies through personal contact. The reports produced information for 34.2 percent of all cases (19.5 percent of serious or moderate cases). The Law Service provided data for 24.9 percent of the cases, 37 percent of the serious or moderate cases. The search of THE WALL STREET JOURNAL furnished 8.2 percent of all cases, and for 9.7 percent of the serious or moderate cases. The Forms 10-K produced information for 6.7 percent of all cases, and 7.8 percent of the serious or moderate cases. The least productive data sources were THE NEW YORK TIMES, the trade journals, corporate reports other than 10-Ks and the miscellaneous sources.

The central unit of analysis examined in this research is the firm's "illegal behavior," which does not necessarily correspond to individual legal actions brought by various levels of government. For example, multiple legal cases (criminal, civil and/or administrative) may be brought by various units of government alleging the same set of facts concerning a firm's violation. Similarly, multiple specific violations of statute might be alleged in a particular illegal behavior. Clearly only one "illegal behavior" is to be counted in this situation. On the other hand, a single criminal trial may involve several firms charged with a price-fixing conspiracy. In this instance, each firm involved is charged with a "case of violation." Thus, if four firms are charged in a conspiracy action brought by the Justice Department, four "cases of violation" or four firm-cases are recorded.

#### FILE STRUCTURE

The data for the Violations/Sanctions File of ILLEGAL CORPORATE BEHAVIOR, 1975-76 are available from the ICPSR in OSIRIS and card-image format. The data file is constructed with a logical record length of 366 and there are 175 variables on 2230 cases.

## CODEBOOK INFORMATION

The example below is a reproduction of information appearing in the machine-readable codebook for a typical variable. The numbers in brackets do not appear but are references to the descriptions which follow this example.

.....

[1] VAR 0010      [2] REFER TO DOJ      [3] MD=-1 OR GE 99  
REF 0010      [4] LOC      WIDTH 2      [5] DK      COL

[6] Q.6 Referral to Department of Justice

-----

[7] [8]

00. Not referred to Department of Justice

01. Referred to Department of Justice

-1. Inap., Department of Justice initiated the  
case; missing data

09. DK

.....

[1] Indicates the variable and reference numbers.

A variable and reference number are assigned to each item in the study. In this codebook which documents the archived dataset these numbers are identical. Should the data be disseminated in a different structure, new variable numbers may be assigned or created. The reference number would remain unchanged and correspond to those in this codebook.

[2] Indicates the abbreviated (24 character maximum) variable label used within OSIRIS to identify each variable. An expanded version can be found in the Variable Description List.

[3] Indicates the designation of missing data. In this example, code values equal to -1 (MD=-1) and code values greater than or equal to 99 (MD GE 99) are missing data. Alternative statements for other variables are "MD=99" or "NO MISSING DATA CODES."



Some analysis software packages (including the ICPSR-supported package) require that certain types of data which the user desires to be excluded from analysis be designated as "missing data" e.g., inappropriate, unascertained, unascertainable, or ambiguous data categories. Although this value is defined as within the missing data category, this does not mean that users should not or cannot use this code value in a substantive role if they so desire.

- [4] Indicates the sequential location and width of this variable within the record when the data are stored on magnetic tape. In this example the variable named "REFER DOJ" is two columns wide and located in the column within the record.
- [5] Indicates the location by deck and column(s) of this variable when the data are stored on cards or in card image format.
- [6] Indicates the full text of the variable description supplied by the original collector of the data. The numbers and letters that may appear at the beginning are question numbers from the survey forms.
- [7] Indicates the code values occurring in the data for this variable.
- [8] Indicates the textual definitions of the codes.

## ICPSR PROCESSING INFORMATION

The data collection was processed according to the standard ICPSR processing procedures. The data were checked for illegal or inconsistent code values which, when found, were recoded to OSIRIS missing data values. No consistency checks were performed. Statements bracketed in "<" and ">" signs in the body of the codebook were added by the processors for explanatory purposes.

## VARIABLE DESCRIPTION LIST

- 1 ICPSR study number - 7855
- 2 ICPSR edition number - 2
- 3 ICPSR part number - 2
- 4 ICPSR sequential case identification number

- 5 Corporation identification number
- 6 Violation identification number
- 7 Levels of government involved
- 8 Combination identification number

- 9 Agency initiating action
- 10 Referral to department of justice
- 11 Action taken by department of justice
- 12 Agency or court taking action

## SEPARATE LEGAL ACTIONS

- 13 Total number
- 14 Total number - federal agencies
- 15 Total number - state agencies
- 16 Total number - local agencies
- 17 Criminal
- 18 Civil
- 19 Administrative

- 20 Corporate involvement in corporate behavior
- 21 Number of officers charged in this illegal behavior

## DATE OF INSTITUTED ACTION

- 22 Month
- 23 Year

## DATE OF DECISION

- 24 Month
- 25 Year

- 26 Status of all cases

## DATE OF CORPORATE BEHAVIOR

- 27 Month
- 28 Year
- 29 Duration of corporate behavior

#### MATERIALS/PRODUCTS INVOLVED IN CORPORATE BEHAVIOR

- 30 Material code (U.S. Coast Guard)
- 31 Material code (non-Coast Guard)
- 32 Source (U.S. Coast Guard)
- 33 Number of products recalled/involved

#### VIOLATION AMOUNT

- 34 Amount of violation
- 35 Unit of amount of violation

#### MAJOR VIOLATION - 1

- 36 Victim 1, violation 1
- 37 Level 1, violation 1
- 38 Level 2, violation 1
- 39 Level 3, violation 1
- 40 Level 4, violation 1

#### PROTECTED CLASS

- 41 Race
- 42 Sex
- 43 National origin
- 44 Religion
- 45 No protected class

- 46 General discriminatory employment practices

#### PRE-EMPLOYMENT PRACTICES

- 47 Selection criteria devices
- 48 Investigations
- 49 Testing
- 50 Hiring
- 51 Recruitment
- 52 Educational requirements
- 53 Failure to institute affirmative action programs

#### POST-EMPLOYMENT PRACTICES

- 54 Job assignments
- 55 Wages
- 56 Job qualifications

- 57 Job classifications
- 58 Training and apprenticeship
- 59 Promotion
- 60 Seniority practices
- 61 Transfers
- 62 Segregated departments
- 63 Employment policies and compensation
- 64 Equal facilities
- 65 Harassment
- 66 Discipline
- 67 Demotions
- 68 Garnishment procedures
- 69 Lay-offs
- 70 Recall from lay-offs
- 71 Other terms and conditions of employment
- 72 Discharge
- 73 Union Representation

MAJOR VIOLATION - 2

- 74 Victim 2, violation 2
- 75 Level 1, violation 2
- 76 Level 2, violation 2
- 77 Level 3, violation 2
- 78 Level 4, violation 2

MAJOR VIOLATION - 3

- 79 Victim 3, violation 3
- 80 Level 1, violation 3
- 81 Level 2, violation 3
- 82 Level 3, violation 3
- 83 Level 4, violation 3

MAJOR VIOLATION - 4

- 84 Victim 4, violation 4
- 85 Level 1, violation 4
- 86 Level 2, violation 4
- 87 Level 3, violation 4
- 88 Level 4, violation 4

MAJOR VIOLATION - 5

- 89 Victim 5, violation 5
- 90 Level 1, violation 5
- 91 Level 2, violation 5
- 92 Level 3, violation 5
- 93 Level 4, violation 5

- 94 Total number of violation counts

95 Seriousness of counts charged

LEGAL ACTION(S) AND RESULTANT SANCTION(S) - 1

- 96 Legal action 1
- 97 Sanction or detail 1
- 98 Status of sanction 1
- 99 Consent to sanction 1
- 100 Type of sanction 1
- 101 Against whom sanction imposed/proposed - 1
- 102 Level 1, sanction 1
- 103 Level 2, sanction 1
- 104 Level 3, sanction 1
- 105 Level 4, sanction 1

LEGAL ACTION(S) AND RESULTANT SANCTION(S) - 2

- 106 Legal action 2
- 107 Sanction or detail 2
- 108 Status of sanction 2
- 109 Consent to sanction 2
- 110 Type of sanction 2
- 111 Against whom sanction imposed/proposed - 2
- 112 Level 1, sanction 2
- 113 Level 2, sanction 2
- 114 Level 3, sanction 2
- 115 Level 4, sanction 2

LEGAL ACTION(S) AND RESULTANT SANCTION(S) - 3

- 116 Legal action 3
- 117 Sanction or detail 3
- 118 Status of sanction 3
- 119 Consent to sanction 3
- 120 Type of sanction 3
- 121 Against whom sanction imposed/proposed - 3
- 122 Level 1, sanction 3
- 123 Level 2, sanction 3
- 124 Level 3, sanction 3
- 125 Level 4, sanction 3

LEGAL ACTION(S) AND RESULTANT SANCTION(S) - 4

- 126 Legal action 4
- 127 Sanction or detail 4
- 128 Status of sanction 4
- 129 Consent to sanction 4
- 130 Type of sanction 4
- 131 Against whom sanction imposed/proposed - 4
- 132 Level 1, sanction 4
- 133 Level 2, sanction 4
- 134 Level 3, sanction 4

135 Level 4, sanction 4

LEGAL ACTION(S) AND RESULTANT SANCTION(S) - 5

136 Legal action 5  
137 Sanction or detail 5  
138 Status of sanction 5  
139 Consent to sanction 5  
140 Type of sanction 5  
141 Against whom sanction imposed/proposed - 5  
142 Level 1, sanction 5  
143 Level 2, sanction 5  
144 Level 3, sanction 5  
145 Level 4, sanction 5

SANCTIONS 1-5: TOTALS

146 Total number different sanctions  
147 Total number sanctions imposed  
148 Total number sanctions proposed  
149 Total number sanctions against corporation  
150 Total number sanctions against officer(s)

151 Amount of monetary penalty

SANCTIONS AGAINST OFFICERS

152 Amount of fine(s) for all officers  
153 Total time of imprisonment of officers  
154 Total time of probation of officers

SANCTION AMOUNT

155 Amount of sanction  
156 Unit of amount of sanction

SOURCE OF INFORMATION

157 Information sent to research staff  
158 Law services  
159 Corporate 10-k reports  
160 Annual reports of government agencies  
161 Correspondence with corporation  
162 Corporate reports other than 10-k's  
163 Wall Street Journal  
164 New York Times  
165 Industrial trade journals  
166 Government agency releases/publications  
167 Other

#### PROBLEM CODES

168 Problem code 1  
169 Problem code 2  
170 Problem code 3  
171 Problem code 4

#### INDUSTRY DETAIL

172 Primary industrial concentration  
173 Annual sale minus distribution costs  
174 Is corporation a subsidiary  
175 Industry classification by Fortune Magazine



DECK IDENTIFICATION NUMBER IS '01'

DK 1 COL 1- 2

VAR 0001 ICPSR STUDY NUM NO MISSING DATA CODES  
REF 0001 LOC 1 WIDTH 4 DK 1 COL 3- 6

ICPSR Study Number-7855

7855. The ICPSR has attached this number as a unique data collection identification number.

.....  
VAR 0002 ICPSR EDITION NUM NO MISSING DATA CODES  
REF 0002 LOC 5 WIDTH 1 DK 1 COL 7

ICPSR Edition Number-2

The number identifying the release edition of the data collection.

2. Fall, 1983 release

.....  
VAR 0003 ICPSR PART NUM NO MISSING DATA CODES  
REF 0003 LOC 6 WIDTH 1 DK 1 COL 8

ICPSR Part Number-2

2. Part two of a two-part data collection.

.....  
VAR 0004 ICPSR CASE ID NO MISSING DATA CODES  
REF 0004 LOC 7 WIDTH 4 DK 1 COL 9-12

ICPSR Sequential Case Identification Number

(CONTINUED)

The ICPSR has attached a sequential identification number to every case. This number uniquely identifies each record in the data collection.

.....

VAR 0005	CORP ID	NO MISSING DATA CODES
REF 0005	LOC 11 WIDTH 4	DK 1 COL 13-16

#### Q.1 Corporation Identification Number

-----

Actual number is coded.

Code documentation not released by Principal Investigators.

.....

VAR 0006	VIOL ID	NO MISSING DATA CODES
REF 0006	LOC 15 WIDTH 5	DK 1 COL 17-21

#### Q.2 Violation Identification Number

-----

Each record represents one illegal corporate action/behavior by the corporation, though there may be a number of violations alleged and cases filed in response to that one (alleged) action/behavior by the corporation.

NOTE: It is possible that for some "cases of violation"(unit of analysis), two or more records were coded into the data file, though with the same VIOLATION ID. For example, one "case of violation" may include a FEDERAL charge and a STATE charge, each coded with the same VIOLATION ID. The number of "cases of violation" can be determined by counting the number of unique VIOLATION ID's.

.....

VAR 0007	GOVT LEVEL INVOLVED	MD=-1
REF 0007	LOC 20 WIDTH 2	DK 1 COL 22-23

#### Q.3 Levels of Government Involved in Response to Corporate Behavior

-----

01. FEDERAL ONLY: Only Federal government involved in

(CONTINUED)

bringing cases against this corporation with regard to this violation

02. FEDERAL + STATE: This record refers to federal case, but there is also a state case against this corporation with regard to this violation
03. FEDERAL + LOCAL: This record refers to federal case, but there is also a local case against this corporation with regard to this violation
04. FEDERAL + STATE + LOCAL: This record refers to federal case, but there is also a state and local case against this corporation with regard to this violation
05. STATE ONLY: Only State government involved in bringing cases against this corporation with regard to this violation
06. STATE + FEDERAL: This record refers to state case, but there is also a federal case against this corporation with regard to this violation
07. STATE + LOCAL: This record refers to state case, but there is also a local case against this corporation with regard to this violation
08. STATE + FEDERAL + LOCAL: This record refers to state case, but there is also a federal and a local case against this corporation with regard to this violation
09. LOCAL ONLY: Only Local government involved in bringing cases against this corporation with regard to this violation
10. LOCAL + FEDERAL: This record refers to local case, but there is also a federal case against this corporation with regard to this violation
11. LOCAL + STATE: This record refers to local case, but there is also a state case against this corporation with regard to this violation
12. LOCAL + FEDERAL + STATE: This record refers to local case, but there is also a federal and a state case against this corporation with regard to this violation
13. Class action
14. Competitor antitrust
15. Other
- 1. Missing Data

VAR 0008  
REF 0008

COMB ID  
LOC 22 WIDTH 2

MD=-1  
DK 1 COL 24-25

#### 0.4 Combination Identification Number

This variable is used to designate all those corporations which are involved in one specific behavior (e.g., price-fixing, tying agreements, interlocking directorates, etc.). Each corporation involved in the combination will have a different 4-digit Violation Identification Number but will have the same 2-digit Combination Identification Number.

-1. Inap., no combination involved.

VAR 0009  
REF 0009

AGENCY INITIATING ACTN  
LOC 24 WIDTH 3

MD=999  
DK 1 COL 26-28

### Q.5 Agency Initiating Action

SEE NOTE (S) 6

999. Unknown

VAR 0010  
REF 0010

REFER TO DOJ  
LOC 27 WIDTH 2

MD=-1 OR GE 9  
DK 1 COL 29-30

#### Q.6 Referral to Department of Justice

00. Not referred to Department of Justice  
01. Referred to Department of Justice

-1. Inap., Department of Justice initiated the case;  
missing data  
09. DK

VAR 0011 DOJ ACTION MD=-1 OR GE 9  
 REF 0011 LOC 29 WIDTH 2 DK 1 COL 31-32

Q.7 Action Taken by Department of Justice

---

- 01. Filed
- 02. Declined
- 03. Dropped
- 04. Dismissed
- 05. Referred to Department of Justice for Collection of Civil Penalty (U.S. Coast Guard) -- prejudgement compromises, settlements involved, not filed but penalty collected
- 1. Inap., case was not referred to Department of Justice; missing data
- 09. Don't know what action was taken by Department of Justice

.....

VAR 0012 AGENCY/CORT TAKING ACTION MD=-1 OR GE 999  
 REF 0012 LOC 31 WIDTH 3 DK 1 COL 33-35

Q.8 Agency or Court Taking Action

---

SEE NOTE(S) 6

- 01. Missing Data
- 999. Unknown

.....

VAR 0013 TOT # SEPRTE LGL ACTNS MD=-1  
 REF 0013 LOC 34 WIDTH 2 DK 1 COL 36-37

Q.9 Total Number of Separate Legal Actions Alleging Same Facts Initiated Against This Corporation with Regard to This Corporate Behavior (federal + state + local)

---

Actual number is coded.

(CONTINUED)

-1. Inap., coded only highest level of government  
involved

.....

VAR 0014	TOT LGL ACTNS:FED	MD=-1
REF 0014	LOC 36 WIDTH 2	DK 1 COL 38-39

Q.10 Total Number of Separate Legal Actions Alleging Same  
Facts Initiated Against This Corporation With Regard to This  
Corporate Behavior by FEDERAL Agencies

-----

Actual number is coded.

-1. Inap., coded only highest level of government  
involved

.....

VAR 0015	TOT LGL ACTNS:STATE	MD=-1
REF 0015	LOC 38 WIDTH 2	DK 1 COL 40-41

Q.11 Total Number of Separate Legal Actions Alleging Same  
Facts Initiated Against This Corporation With Regard to This  
Corporate Behavior by STATE Agencies

-----

Actual number is coded.

-1. Inap., coded only highest level of government  
involved

.....

VAR 0016	TOT LGL ACTNS:LOC	MD=-1
REF 0016	LOC 40 WIDTH 2	DK 1 COL 42-43

Q.12 Total Number of Separate Legal Actions Alleging Same  
Facts Initiated Against This Corporation With Regard to This  
Corporate Behavior by LOCAL Agencies

-----

Actual number is coded.

(CONTINUED)

-1. Inap., coded only highest level of government  
involved

.....  
VAR 0017            CRIMINAL LGL ACTNS            MD=-1 OR GE 99  
REF 0017            LOC 42 WIDTH 2            DK 1 COL 44-45

Q.13 Criminal Legal Action Involved as a Result of this  
Corporate Behavior  
-----

Dummy Variable

00. No  
01. Yes  
  
-1. Missing Data  
99. DK

.....  
VAR 0018            # CIVIL CASES INVOLVD            MD=-1 OR GE 99  
REF 0018            LOC 44 WIDTH 2            DK 1 COL 46-47

Q.14 Number of Civil Separate Legal Actions Alleging Same  
Facts Involved as a Result of This Corporate Behavior  
(federal, state and local)  
-----

Actual number is coded.

-1. Missing Data  
99. DK

.....  
VAR 0019            # ADMIN CASES INVOLVD            MD=-1 OR GE 99  
REF 0019            LOC 46 WIDTH 2            DK 1 COL 48-49

Q.15 Number of Administrative Separate Legal Actions  
Alleging Same Facts Involved as a Result of This Corporate  
Behavior  
-----

(CONTINUED)

Actual number is coded.

-1. Missing Data

99. DK

.....

VAR 0020	CORPORATE INVOLVMT	MD=-1
REF 0020	LOC 48 WIDTH 2	DK 1 COL 50-51

#### Q.16 Corporate Involvement in Corporate Behavior

-----

- 01. Corporation only charged in Corporate Behavior
- 02. Officer(s) only charged in Corporate Behavior
- 03. Officer(s) AND corporation charged in Corporate Behavior

-1. Missing Data

.....

VAR 0021	# OFFICERS CHRGD	MD=-1
REF 0021	LOC 50 WIDTH 2	DK 1 COL 52-53

#### Q.17 Number of Officers From This Corporation Charged in This Illegal Behavior

-----

Actual number is coded.

-1. Inap., No officers were involved

.....

[FOR Q.18 - Q.21 --] Where more than one type of legal action was instituted, Q.18 - Q.21 were coded only according to the most serious.



VAR 0022      DATEINST: MONTH  
REF 0022      LOC    52 WIDTH 2

MD=-1 OR GE 99  
DK    1 COL 54-55

Q.18 Date of Action Instituted: Month  
-----

Actual number is coded.

- 1. Missing Data
- 99. Date or month unknown

VAR 0023      DATEINST: YEAR  
REF 0023      LOC    54 WIDTH 2

MD=-1 OR GE 99  
DK    1 COL 56-57

Q.19 Date of Action Instituted: Year  
-----

Actual number is coded.

- 1. Missing Data
- 99. Date unknown

VAR 0024      DATE DEC: MONTH  
REF 0024      LOC    56 WIDTH 2

MD=-1 OR GE 99  
DK    1 COL 58-59

Q.20 Date of Decision: Month  
-----

Actual number coded is coded.

- 1. Inap., legal action(s) involved were instituted but not completed during 1975-1976; some legal actions instituted and pending, 1975-1976; missing data
- 99. Date or month unknown

VAR 0025      DATE DEC: YEAR  
REF 0025      LOC 58 WIDTH 2

MD=-1 OR GE 99  
DK 1 COL 60-61

Q.21 Date of Decision: Year

---

Actual number is coded.

- 1. Inap., legal action(s) involved were instituted but not completed during 1975-1976; some legal actions instituted and pending, 1975-1976; missing data
- 99. Date unknown

VAR 0026      STATUS OF ALL CASES  
REF 0026      LOC 60 WIDTH 2

MD=-1  
DK 1 COL 62-63

Q.22 Status of All Cases Associated With Corporate Behavior

---

- 01. All legal actions involved in this corporate behavior were instituted but not completed during 1975-1976
- 02. All legal actions involved were completed during 1975-1976 (may have been instituted in previous years)
- 03. Some legal actions completed, others instituted and pending, 1975-1976
- 1. Missing Data

VAR 0027      DATE VIOL: MONTH  
REF 0027      LOC 62 WIDTH 2

MD=-1 OR GE 99  
DK 1 COL 64-65

Q.23 Date of Corporate Behavior: Month

---

Actual number is coded.

- 1. Missing Data
- 99. Date or month unknown

VAR 0028      DATE VIOL: YEAR  
REF 0028      LOC    64 WIDTH 2

MD=-1 OR GE 99  
DK    1 COL 66-67

Q.24 Date of Corporate Behavior: Year  
-----

Actual number is coded.

-1. Missing Data  
99. Date unknown

VAR 0029      LENGTH OF VIOL:MOS  
REF 0029      LOC    66 WIDTH 3

MD=-1 OR GE 999  
DK    1 COL 68-70

Q.25 Duration of Corporate Behavior  
-----

Actual number is coded.

-01. Inap., instantaneous violation, e.g., coast guard  
      spills  
999. DK

VAR 0030      MATERIAL CODE:NON-CG  
REF 0030      LOC    69 WIDTH 4

MD=-1 OR GE 9999  
DK    1 COL 71-74

Q.26 Material Code (non-Coast Guard)  
-----

Standard Industrial Classification code for product  
involved. For SIC code documentation see:

U.S. Dept. of Commerce, Bureau of Census,  
1972 CENSUS OF MANUFACTURERS Volume I Appendix B

-001. Inap., no material involved  
9999. DK

VAR 0031	MATERIAL CODE:CG	MD=-1 OR GE 9999
REF 0031	LOC 73 WIDTH 4	DK 1 COL 75-78

Q.27 Material Code (U.S. Coast Guard)

-----

SEE NOTE (S) 1

-001. Inap., no U.S. Coast Guard Violation  
 9999. Unknown material.

DECK IDENTIFICATION NUMBER IS '02'	DK 2 COL 1- 2
------------------------------------	---------------

-----

.....

VAR 0001	ICPSR STUDY NUM	NO MISSING DATA CODES
REF 0001	LOC 1 WIDTH 4	DK 2 COL 3- 6

ICPSR Study Number--7855

-----

7855. The ICPSR has attached this number as a unique  
 data collection identification number.

.....

VAR 0002	ICPSR EDITION NUM	NO MISSING DATA CODES
REF 0002	LOC 5 WIDTH 1	DK 2 COL 7

ICPSR Edition Number-2

-----

The number identifying the release edition of the data  
 collection.

2. Fall, 1983 release

VAR 0003	ICPSR PART NUM	NO MISSING DATA CODES
REF 0003	LOC 6 WIDTH 1	DK 2 COL 8

### ICPSR Part Number-2

---

2. Part two of a two-part data collection.

.....

VAR 0004	ICPSR CASE ID	NO MISSING DATA CODES
REF 0004	LOC 7 WIDTH 4	DK 2 COL 9-12

### ICPSR Sequential Case Identification Number

---

The ICPSR has attached a sequential identification number to every case. This number uniquely identifies each record in the data collection.

.....

VAR 0032	SOURCE	MD=-1
REF 0032	LOC 77 WIDTH 3	DK 2 COL 13-15

### Q.28 Source (U.S. Coast Guard)

---

SEE NOTE(S) 2

-01. Inap., no U.S. Coast Guard Violation

.....

VAR 0033	PRDCTS RECALLED/INVLVD	MD=-1 OR GE 99
REF 0033	LOC 80 WIDTH 2	DK 2 COL 16-17

### Q.29 Number of Products Recalled/Involved

---

Actual number is coded.

-1. Inap., no products recalled/involved in violation  
99. DK

VAR 0034  
REF 0034

AMT VIOL  
LOC 82 WIDTH 9

MD=99999999 OR LE -1  
DK 2 COL 18-26

### Q.30 Amount of Violation

-----

Actual number is coded.

-00000001. Missing Data  
009999999. DK

VAR 0035  
REF 0035

UNIT OF AMNT OF VIOL  
LOC 91 WIDTH 2

MD=-1 OR GE 99  
DK 2 COL 27-28

### Q.31 Unit of Amount of Violation

-----

01. Gallons
02. Dollars
03. Units of clothing
04. Household appliances
05. Units of fabric
06. Garden and lawn equipment
07. Lighting equipment
08. Transportation equipment
09. Bottles, cans
10. Bolts, nuts, screws
11. Farm machinery, equipment
12. Sporting goods
13. Electronic equipment
14. Tires
15. Work sites or structures
16. Vials
17. Units (unspecified)
18. Medical devices (eg., tubes, filters, gas  
evacuators/relief valves, x-ray machines,  
pacemakers, spectrophotometers)
19. Cylinders
20. Syringes
21. Trays
22. Containers
23. Cases
24. Ampules
25. Tablets
26. Kits

(CONTINUED)

- 27. Cartons
- 28. Bags
- 29. Cartridges
- 30. Canisters
- 31. Boxes
- 32. Bales
- 33. Pouches
- 34. Pounds
- 35. Tubes
- 36. Packages
- 37. Tons
- 1. Missing Data
- 99. DK

.....

VAR 0036	VICTIM 1		MD=9
REF 0036	LOC 93	WIDTH 1	DK 2 COL 29

Q.32 Major Violation--Victim 1, Violation 1

SEE NOTE (S) 7

These "violations" (1-5) refer to alleged statute violations associated with a particular illegal corporate behavior.

- 1. Actions directed against the consumer (quality/safety of product)
- 2. Actions directed against the consumer (economic power)
- 3. Actions directed against the economic system
- 4. Actions directed against the environment
- 5. Actions directed against the labor force
- 6. Actions directed against the government (agencies)
- 9. Unspecified victim

.....

VAR 0037	LEV1VIOL1	NO MISSING DATA CODES
REF 0037	LOC 94	WIDTH 2 DK 2 COL 30-31

Q.33 Major Violation--Level 1, Violation 1

(CONTINUED)

SEE NOTE(S) 3

01. Administrative violations
02. Environmental violations
03. Financial violations
04. Labor violations
05. Manufacturing violations
06. Unfair trade practices
07. Other

.....

VAR 0038	LEV2VIOL1	NO MISSING DATA CODES
REF 0038	LOC 96 WIDTH 2	DK 2 COL 32-33

Q.34 Major Violation--Level 2, Violation 1

-----

SEE NOTE(S) 3

.....

VAR 0039	LEV3VIOL1	NO MISSING DATA CODES
REF 0039	LOC 98 WIDTH 3	DK 2 COL 34-36

Q.35 Major Violation--Level 3, Violation 1

-----

SEE NOTE(S) 3

.....

VAR 0040	LEV4VIOL1	MD=-1
REF 0040	LOC 101 WIDTH 3	DK 2 COL 37-39

Q.36 Major Violation--Level 4, Violation 1

-----

SEE NOTE(S) 3

-01. Missing Data



VAR 0041 PROCLAS1:RACE MD=9  
 REF 0041 LOC 104 WIDTH 1 DK 2 COL 40

Q.37 Protected Class: Race

SEE NOTE (S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

VAR 0042 PROCLAS2:SEX MD=9  
 REF 0042 LOC 105 WIDTH 1 DK 2 COL 41

Q.38 Protected Class: Sex

SEE NOTE (S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

VAR 0043 PROCLAS3:NAT ORIG MD=9  
 REF 0043 LOC 106 WIDTH 1 DK 2 COL 42

Q.39 Protected Class: National origin

SEE NOTE (S) 3

(CONTINUED)

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0044	PROCLAS4:RELGN	MD=9
REF 0044	LOC 107 WIDTH 1	DK 2 COL 43

Q.40 Protected Class: Religion

-----

SEE NOTE(S) 3

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0045	PROCLAS5:NONE	MD=9
REF 0045	LOC 108 WIDTH 1	DK 2 COL 44

Q.41 Protected Class: No Protected Class

-----

SEE NOTE(S) 3

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

VAR 0046            GENRL DISCRM PRACTICES            MD=-1  
 REF 0046            LOC 109 WIDTH 2            DK 2 COL 45-46

Q.42 General Discriminatory Employment Practices  
 -----

SEE NOTE (S) 3

Dummy Variable

- 00. Indicates violation did not occur in this area
- 01. Indicates violation did occur in this area
- 1. Inap., no discrimination violation

VAR 0047            PRE EMP1:SELECTION            MD=9  
 REF 0047            LOC 111 WIDTH 1            DK 2 COL 47

Q.43 Pre-employment Practices: Pre-employment Selection  
 Criteria and Devices  
 -----

SEE NOTE (S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

VAR 0048            PRE EMP2:INVSTIGATNS            MD=9  
 REF 0048            LOC 112 WIDTH 1            DK 2 COL 48

Q.44 Pre-employment Practices: Investigations  
 -----

SEE NOTE (S) 3

(CONTINUED)

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0049	PRE EMP3:TESTING		MD=9
REF 0049	LOC 113 WIDTH 1	DK 2 COL 49	

## Q.45 Pre-employment Practices: Testing

SEE NOTE (S) 3

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0050	PRE EMP4:HIRING		MD=9
REF 0050	LOC 114 WIDTH 1	DK 2 COL 50	

## Q.46 Pre-employment Practices: Hiring

SEE NOTE (S) 3

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

VAR 0051      PRE EMP5:RECRUITS      MD=9  
REF 0051      LOC 115 WIDTH 1      DK 2 COL 51

Q.47 Pre-employment Practices: Recruitment  
-----

SEE NOTE(S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
  - 1. Indicates violation did occur in this area
  - 9. Inap., no discrimination violation
- .....

VAR 0052      PRE EMP6:EDUC REQ      MD=9  
REF 0052      LOC 116 WIDTH 1      DK 2 COL 52

Q.48 Pre-employment Practices: Educational Requirements  
-----

SEE NOTE(S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
  - 1. Indicates violation did occur in this area
  - 9. Inap., no discrimination violation
- .....

VAR 0053      PRE EMP7:NO AFF ACTN      MD=9  
REF 0053      LOC 117 WIDTH 1      DK 2 COL 53

Q.49 Pre-employment Practices: Failure to Institute  
Affirmative Action Programs  
-----

SEE NOTE(S) 3

(CONTINUED)

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0054	POST EMP1:JOB ASSIGNMTS	MD=9
REF 0054	LOC 118 WIDTH 1	DK 2 COL 54

Q.50 Post-employment Practices: Job Assignments

-----

SEE NOTE (S) 3

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0055	POST EMP2:WAGES	MD=9
REF 0055	LOC 119 WIDTH 1	DK 2 COL 55

Q.51 Post-employment Practices: Wages

-----

SEE NOTE (S) 3

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

VAR 0056  
REF 0056

POST EMP3:JOB QUAL  
LOC 120 WIDTH 1

MD=9  
DK 2 COL 56

Q.52 Post-employment Practices: Job Qualifications  
(performance)  
-----

SEE NOTE(S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
  - 1. Indicates violation did occur in this area
  - 9. Inap., no discrimination violation
- .....

VAR 0057  
REF 0057

POST EMP4:JOB CLASS  
LOC 121 WIDTH 1

MD=9  
DK 2 COL 57

Q.53 Post-employment Practices: Job Classifications (to  
include professional, technical and managerial)  
-----

SEE NOTE(S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
  - 1. Indicates violation did occur in this area
  - 9. Inap., no discrimination violation
- .....

VAR 0058  
REF 0058

POST EMP5:TRAINING  
LOC 122 WIDTH 1

MD=9  
DK 2 COL 58

Q.54 Post-employment Practices: Training and  
apprenticeship  
-----

(CONTINUED)

SEE NOTE (S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0059	POST EMP6:PROMOTION	MD=9
REF 0059	LOC 123 WIDTH 1	DK 2 COL 59

Q.55 Post-employment Practices: Promotion

-----

SEE NOTE (S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0060	POST EMP7:SENIORITY	MD=9
REF 0060	LOC 124 WIDTH 1	DK 2 COL 60

Q.56 Post-employment Practices: Seniority practices

-----

SEE NOTE (S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation



VAR 0061 POST EMP8:TRANSFERS MD=9  
REF 0061 LOC 125 WIDTH 1 DK 2 COL 61

Q.57 Post-employment Practices: Transfers  
-----

SEE NOTE (S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0062 POST EMP9:SEG DEPTS MD=9  
REF 0062 LOC 126 WIDTH 1 DK 2 COL 62

Q.58 Post-employment Practices: Segregated departments  
-----

SEE NOTE (S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0063 POST EMP10:BENEFITS MD=9  
REF 0063 LOC 127 WIDTH 1 DK 2 COL 63

Q.59 Post-employment Practices: Benefits of employment  
(including leave (maternity) policies and compensation  
-----

SEE NOTE (S) 3

(CONTINUED)

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0064	POST EMP11:EQL FACLTIES	MD=9
REF 0064	LOC 128 WIDTH 1	DK 2 COL 64

Q.60 Post-employment Practices: Equal facilities

-----

SEE NOTE (S) 3

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0065	POST EMP12:HARASMNT	MD=9
REF 0065	LOC 129 WIDTH 1	DK 2 COL 65

Q.61 Post-employment Practices: Harassment

-----

SEE NOTE (S) 3

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

VAR 0066 POST EMP13:DISCIPLINE MD=9  
REF 0066 LOC 130 WIDTH 1 DK 2 COL 66

Q.62 Post-employment Practices: Discipline  
-----

SEE NOTE(S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0067 POST EMP14:DEMOTIONS MD=9  
REF 0067 LOC 131 WIDTH 1 DK 2 COL 67

Q.63 Post-employment Practices: Demotions  
-----

SEE NOTE(S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0068 POST EMP15:GARNSHMNT MD=9  
REF 0068 LOC 132 WIDTH 1 DK 2 COL 68

Q.64 Post-employment Practices: Garnishment procedures  
-----

SEE NOTE(S) 3

(CONTINUED)

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0069	POST EMP16:LAY OFFS			MD=9
REF 0069	LOC 133 WIDTH 1	DK	2 COL 69	

Q.65 Post-employment Practices: Lay-offs

-----

SEE NOTE(S) 3

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0070	POST EMP17:LAY OFF RCLS			MD=9
REF 0070	LOC 134 WIDTH 1	DK	2 COL 70	

Q.66 Post-employment Practices: Recall from lay-offs

-----

SEE NOTE(S) 3

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

VAR 0071      POST EMP18:OTHER      MD=9  
REF 0071      LOC 135 WIDTH 1      DK 2 COL 71

Q.67 Post-employment Practices: Other terms and conditions  
of employment

-----

SEE NOTE(S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
  - 1. Indicates violation did occur in this area
  - 9. Inap., no discrimination violation
- .....

VAR 0072      POST EMP19:DISCHARGE      MD=9  
REF 0072      LOC 136 WIDTH 1      DK 2 COL 72

Q.68 Post-employment Practices: Discharge

-----

SEE NOTE(S) 3

Dummy Variable

- 0. Indicates violation did not occur in this area
  - 1. Indicates violation did occur in this area
  - 9. Inap., no discrimination violation
- .....

VAR 0073      POST EMP20:UNION REP      MD=9  
REF 0073      LOC 137 WIDTH 1      DK 2 COL 73

Q.69 Post-employment Practices: Union Representation

-----

SEE NOTE(S) 3

(CONTINUED)

## Dummy Variable

- 0. Indicates violation did not occur in this area
- 1. Indicates violation did occur in this area
- 9. Inap., no discrimination violation

.....

VAR 0074	VICTIM 2		MD=-1
REF 0074	LOC 138 WIDTH 2	DK 2 COL	74-75

Q.70 Major Violation--Victim 2, Violation 2

-----

SEE NOTE(S) 7

These "violations" (1-5) refer to alleged statute violations associated with a particular illegal corporate behavior.

- 01. Actions directed against the consumer (quality/safety of product)
- 02. Actions directed against the consumer (economic power)
- 03. Actions directed against the economic system
- 04. Actions directed against the environment
- 05. Actions directed against the labor force
- 06. Actions directed against the government (agencies)
- 1. Inap., No additional violation charged

.....

VAR 0075	LEVIVIO2		MD=-1
REF 0075	LOC 140 WIDTH 2	DK 2 COL	76-77

Q.71 Major Violation--Level 1, Violation 2

-----

SEE NOTE(S) 3

- 01. Administrative violations
- 02. Environmental violations
- 03. Financial violations

(CONTINUED)

- 04. Labor violations
- 05. Manufacturing violations
- 06. Unfair trade practices
- 07. Other

-1. Inap., No additional violation charged

.....

VAR 0076	LEV2VIOL2	MD=-1
REF 0076	LOC 142 WIDTH 2	DK 2 COL 78-79

Q.72 Major Violation--Level 2, Violation 2

SEE NOTE (S) 3

-1. Inap., No additional violation charged

DECK IDENTIFICATION NUMBER IS '03' DK 3 COL 1- 2

.....

VAR 0001	ICPSR STUDY NUM	NO MISSING DATA CODES
REF 0001	LOC 1 WIDTH 4	DK 3 COL 3- 6

ICPSR Study Number-7855

7855. The ICPSR has attached this number as a unique data collection identification number.

.....

VAR 0002	ICPSR EDITION NUM	NO MISSING DATA CODES
REF 0002	LOC 5 WIDTH 1	DK 3 COL 7

ICPSR Edition Number-2

The number identifying the release edition of the data collection.

(CONTINUED)

## 2. Fall, 1983 release

.....

VAR 0003	ICPSR PART NUM	NO MISSING DATA CODES
REF 0003	LOC 6 WIDTH 1	DK 3 COL 8

ICPSR Part Number-2

## 2. Part two of a two-part data collection.

.....

VAR 0004	ICPSR CASE ID	NO MISSING DATA CODES
REF 0004	LOC 7 WIDTH 4	DK 3 COL 9-12

ICPSR Sequential Case Identification Number

The ICPSR has attached a sequential identification number to every case. This number uniquely identifies each record in the data collection.

.....

VAR 0077	LEV3VIOL2	MD=-1
REF 0077	LOC 144 WIDTH 2	DK 3 COL 13-14

Q.73 Major Violation--Level 3, Violation 2

SEE NOTE(S) 3

-1. Inap., No additional violation charged

.....

VAR 0078	LEV4VIOL2	MD=-1
REF 0078	LOC 146 WIDTH 3	DK 3 COL 15-17

Q.74 Major Violation--Level 4, Violation 2



(CONTINUED)

SEE NOTE(S) 3

-01. Inap., No additional violation charged

.....

VAR 0079	VICTIM 3	MD=-1
REF 0079	LOC 149 WIDTH 2	DK 3 COL 18-19

#### Q.75 Major Violation--Victim 3, Violation 3

SEE NOTE(S) 7

These "violations" (1-5) refer to alleged statute violations associated with a particular illegal corporate behavior.

01. Actions directed against the consumer (quality/safety of product)
02. Actions directed against the consumer (economic power)
03. Actions directed against the economic system
04. Actions directed against the environment
05. Actions directed against the labor force
06. Actions directed against the government (agencies)

-1. Inap., No additional violation charged

.....

VAR 0080	LEVIVIO3	MD=-1
REF 0080	LOC 151 WIDTH 2	DK 3 COL 20-21

#### Q.76 Major Violation--Level 1, Violation 3

SEE NOTE(S) 3

01. Administrative violations
02. Environmental violations
03. Financial violations
04. Labor violations
05. Manufacturing violations
06. Unfair trade practices

(CONTINUED)

## 07. Other

-1. Inap., no additional violation charged

.....

VAR 0081	LEV2VIOL3		MD=-1
REF 0081	LOC 153 WIDTH 2	DK 3 COL	22-23

Q.77 Major Violation--Level 2, Violation 3

-----

SEE NOTE(S) 3

-1. Inap., no additional violation charged

.....

VAR 0082	LEV3VIOL3		MD=-1
REF 0082	LOC 155 WIDTH 2	DK 3 COL	24-25

Q.78 Major Violation--Level 3, Violation 3

-----

SEE NOTE(S) 3

-1. Inap., no additional violation charged

.....

VAR 0083	LEV4VIOL3		MD=-1
REF 0083	LOC 157 WIDTH 3	DK 3 COL	26-28

Q.79 Major Violation--Level 4, Violation 3

-----

SEE NOTE(S) 3

-01. Inap., no additional violation charged

VAR 0084  
REF 0084

VICTIM 4  
LOC 160 WIDTH 2

MD=-1  
DK 3 COL 29-30

Q.80 Major Violation--Victim 4, Violation 4  
-----

SEE NOTE(S) 7

These "violations" (1-5) refer to alleged statute violations associated with a particular illegal corporate behavior.

01. Actions directed against the consumer  
(quality/safety of product)
02. Actions directed against the consumer (economic power)
03. Actions directed against the economic system
04. Actions directed against the environment
05. Actions directed against the labor force
06. Actions directed against the government (agencies)

-1. Inap., no additional violation charged

VAR 0085  
REF 0085

LEV1VIOL4  
LOC 162 WIDTH 2

MD=-1  
DK 3 COL 31-32

Q.81 Major Violation--Level 1, Violation 4  
-----

SEE NOTE(S) 3

01. Administrative violations
02. Environmental violations
03. Financial violations
04. Labor violations
05. Manufacturing violations
06. Unfair trade practices
07. Other

-1. Inap., no additional violation charged

```
VAR 0086      LEV2VIOL4      MD=-1
REF 0086      LOC 164 WIDTH 2      DK 3 COL 33-34
```

Q.82 Major Violation--Level 2, Violation 4

SEE NOTE(S) 3

-1. Inap., no additional violation charged

```

VAR 0087      LEV3V10L4      MD=-1
REF 0087      LOC 166 WIDTH 2      DK 3 COL 35-36

```

Q.83 Major Violation--Level 3, Violation 4

SEE NOTE(S) 3

-1. Inap., no additional violation charged

```

VAR 0088      LEV4VIOL4      MD=-1
REF 0088      LOC 168 WIDTH 3      DK 3 COL 37-39

```

Q.84 Major Violation--Level 4, Violation 4

SEE NOTE (S) 3

-01. Inap., no additional violation charged

VAR 0089 VICTIM 5 MD=-1  
REF 0089 LOC 171 WIDTH 2 DK 3 COL 40-41

Q.85 Major Violation--Victim 5, Violation 5

SEE NOTE(S) 7

(CONTINUED)

These "violations" (1-5) refer to alleged statute violations associated with a particular illegal corporate behavior.

- 01. Actions directed against the consumer (quality/safety of product)
- 02. Actions directed against the consumer (economic power)
- 03. Actions directed against the economic system
- 04. Actions directed against the environment
- 05. Actions directed against the labor force
- 06. Actions directed against the government (agencies)

-1. Inap., no additional violation charged

.....

VAR 0090	LEV1VIOL5	MD=-1
REF 0090	LOC 173 WIDTH 2	DK 3 COL 42-43

Q.86 Major Violation--Level 1, Violation 5

-----

SEE NOTE(S) 3

- 01. Administrative violations
- 02.. Environmental violations
- 03. Financial violations
- 04. Labor violations
- 05. Manufacturing violations
- 06. Unfair trade practices
- 07. Other

-1. Inap., no additional violation charged

.....

VAR 0091	LEV2VIOL5	MD=-1
REF 0091	LOC 175 WIDTH 2	DK 3 COL 44-45

Q.87 Major Violation--Level 2, Violation 5

-----

SEE NOTE(S) 3

-1. Inap., no additional violation charged

```
VAR 0092      LEV3V10L5      MD=-1
REF 0092      LOC 177 WIDTH 2      DK 3 COL 46-47
```

Q.88 Major Violation--Level 3, Violation 5

SEE NOTE (S) 3

-1. Inap., no additional violation charged

```
VAR 0093      LEV4VIOL5      MD=-1
REF 0093      LOC 179 WIDTH 3      DK 3 COL 48-50
```

Q.89 Major Violation--Level 4, Violation 5

SEE NOTE (S) 3

-01. Inap., no additional violation charged

VAR 0094	# VIOL COUNTS	MD=-1
REF 0094	LOC 182 WIDTH 2	DK 3 COL 51-52

Q.90 Number of different violation counts (all counts of all violations alleged)

Number of different violation counts charged in corporate behavior for this level of government only (e.g., if a FEDERAL case is documented in this record only FEDERAL charges are counted; if a STATE case is documented in this record only STATE charges are counted, etc.)

Actual number is coded.

## -1. Missing Data

VAR 0095  
REF 0095

SERIOUSNS OF COUNTS  
LOC 184 WIDTH 4

MD=9999  
DK 3 COL 53-56

#### Q.91 Seriousness of Counts Charged in Corporate Behavior

Refers to the seriousness rating for the whole case of violation.

-----

0601. FDA serious score  
0602. FDA moderate score  
0603. FDA minor score  
0861. OSHA serious score  
0862. OSHA moderate score  
0863. OSHA minor score  
9001. Researcher's serious score  
9002. Researcher's moderate score  
9003. Researcher's minor score  
1211. USCG serious score  
1212. USCG moderate score  
1213. USCG minor score

9999. Unknown

VAR 0096  
REF 0096

LEGAL ACTION 1  
LOC 188 WIDTH 2

NO MISSING DATA CODES  
DK 3 COL 57-58

#### Q.92 Legal Action 1

Refers to the legal action (indexed in Q.9) which resulted in the imposition of the specified sanction (1-5). Since most corporate behaviors were sanctioned through a single legal action, Q.92 Legal Action 1 is generally coded "1."

However, when separate legal actions (e.g., criminal and civil) result in sanctions, the correspondence between action and sanction is captured in Q.92 Legal Action 1. In this example of parallel criminal and civil proceedings, the criminal case is Legal Action 1 (it being the more severe legal action). The criminal sanctions imposed (in this fictitious case) are a fine and a period of probation. The civil sanction is a restraining order. Legal Action 1 and Legal Action 2 (Q.92 and Q.102) are coded "1" to refer to the criminal case. Variables associated with sanction 1 (Q.93-Q.101) describe the fine; variables associated with

(CONTINUED)

sanction 2 describe the probation. Legal Action 3 (Q.112) is coded "2" (indicating the civil case); variables associated with sanction 3 refer to the restraining order.

---

Actual number is coded.

---

VAR 0097	SANDET 1	NO MISSING DATA CODES
REF 0097	LOC 190 WIDTH 2	DK 3 COL 59-60

#### Q.93 Sanction or Detail 1

Sandet variables (1-5) indicate when the corresponding information (in Q.94-Q.101, etc.) refer to a different sanction than that previously described or to the same sanction (in which case, these variables merely provide further detail on the previously referenced sanction). Needless to say, Q.93 can only refer to a sanction (it being the first Sandet variable), but variables Q.103, Q.113, etc., might be coded "0" to indicate further detail on the previously described sanction. Code "1" indicates that the corresponding variables describe a new sanction.

---

- 00. Detail
  - 01. Sanction
- 

VAR 0098	STATSAN1	MD=9
REF 0098	LOC 192 WIDTH 2	DK 3 COL 61-62

#### Q.94 Status of Sanction 1

---

- 01. Proposed
- 02. Imposed
- 03. Prosecution terminated
- 04. Prosecution terminated, proposed sanction
- 09. DK



VAR 0099  
REF 0099

CONSENT1  
LOC 194 WIDTH 2

MD=-1 OR GE 99  
DK 3 COL 63-64

Q.95 Consent to Sanction 1  
-----

- 01. Corporation consented to sanction
- 02. Corporation did not consent to sanction
- 04. No contest
- 05. Plea of guilty
- 06. Plea of not guilty
  
- 1. Inap., case open; prosecution terminated; charge  
against officers only
- 99. DK; missing data

VAR 0100  
REF 0100

SANTYPE1  
LOC 196 WIDTH 2

MD=-1 OR GE 99  
DK 3 COL 65-66

Q.96 Type of Sanction 1  
-----

- 01. Court imposed/proposed criminal sanction
- 02. Court imposed/proposed civil sanction
- 03. Administratively imposed/proposed civil sanction
- 04. Administratively imposed/proposed administrative  
sanction
- 05. Court enforcement of agency order
- 06. Referred to Department of Justice - Unknown what  
action was taken
- 07. Voluntary recall (NHTSA and EPA)
- 08. Voluntary measure to comply
  
- 1. Missing Data
- 99. DK

VAR 0101  
REF 0101

AGAINST1  
LOC 198 WIDTH 2

MD=9  
DK 3 COL 67-68

Q.97 Against Whom is This Sanction Imposed/Proposed 1  
-----

(CONTINUED)

01. Corporation only
02. Officer(s) only
03. Corporation and officer(s)
09. Missing Data

.....

VAR 0102	LEV1SAN1	NO MISSING DATA CODES
REF 0102	LOC 200 WIDTH 2	DK 3 COL 69-70

Q.98 Level 1, Sanction 1

-----

01. Unspecified detail
02. Monetary penalty
03. Unilateral order
04. Orders not elsewhere classified
05. Actions enjoined
06. Consent order
07. Nonmonetary penalties against officer(s)
08. Warnings
09. Other sanctions
10. Prosecution terminated
11. Certain ancillary relief

.....

VAR 0103	LEV2SAN1	NO MISSING DATA CODES
REF 0103	LOC 202 WIDTH 2	DK 3 COL 71-72

Q.99 Level 2, Sanction 1

-----

SEE NOTE(S) 4

.....

VAR 0104	LEV3SAN1	NO MISSING DATA CODES
REF 0104	LOC 204 WIDTH 2	DK 3 COL 73-74

Q.100 Level 3, Sanction 1

-----

(CONTINUED)

SEE NOTE(S) 4

.....

VAR 0105	LEV4SAN1	NO MISSING DATA CODES
REF 0105	LOC 206 WIDTH 3	DK 3 COL 75-77

#### Q.101 Level 4, Sanction 1

SEE NOTE(S) 4

.....

VAR 0106	LEGAL ACTION 2	MD=-1
REF 0106	LOC 209 WIDTH 2	DK 3 COL 78-79

#### Q.102 Legal Action 2

Refers to the legal action (indexed in Q.9) which resulted in the imposition of the specified sanction (1-5). Since most corporate behaviors were sanctioned through a single legal action, Legal Action is generally coded "1."

However, when separate legal actions (e.g., criminal and civil) result in sanctions, the correspondence between action and sanction is captured in Legal Action. In this example of parallel criminal and civil proceedings, the criminal case is Legal Action 1 (it being the more severe legal action). The criminal sanctions imposed (in this fictitious case) are a fine and a period of probation. The civil sanction is a restraining order. Legal Action 1 and Legal Action 2 (Q.92 and Q.102) are coded "1" to refer to the criminal case. Variables associated with sanction 1 (Q.93-Q.101) describe the fine; variables associated with sanction 2 describe the probation. Legal Action 3 (Q.112) is coded "2" (indicating the civil case); variables associated with sanction 3 refer to the restraining order.

-----

Actual number is coded.

-1. Inap., no additional legal action

DECK IDENTIFICATION NUMBER IS '04'

---

DK 4 COL 1- 2

VAR 0001 ICPSR STUDY NUM NO MISSING DATA CODES  
REF 0001 LOC 1 WIDTH 4 DK 4 COL 3- 6

ICPSR Study Number-7855

7855. The ICPSR has attached this number as a unique  
data collection identification number.

.....  
VAR 0002 ICPSR EDITION NUM NO MISSING DATA CODES  
REF 0002 LOC 5 WIDTH 1 DK 4 COL 7

ICPSR Edition Number-2

The number identifying the release edition of the data  
collection.

2. Fall, 1983 release

.....  
VAR 0003 ICPSR PART NUM NO MISSING DATA CODES  
REF 0003 LOC 6 WIDTH 1 DK 4 COL 8

ICPSR Part Number--2

2. Part two of a two-part data collection.

.....  
VAR 0004 ICPSR CASE ID NO MISSING DATA CODES  
REF 0004 LOC 7 WIDTH 4 DK 4 COL 9-12

ICPSR Sequential Case Identification Number

(CONTINUED)

The ICPSR has attached a sequential identification number to every case. This number uniquely identifies each record in the data collection.

.....

VAR 0107	SANDET 2	MD=-1
REF 0107	LOC 211 WIDTH 2	DK 4 COL 13-14

#### Q.103 Sanction or Detail 2

Sandet variables (1-5) indicate when the corresponding information (in Q.94-Q.101, etc.) refer to a different sanction than that previously described or to the same sanction (in which case, these variables merely provide further detail on the previously referenced sanction). Needless to say, Q.93 can only refer to a sanction (it being the first Sandet variable), but Q.103, Q.113, etc., might be coded "00" to indicate further detail on the previously described sanction. Code "01" indicates that the corresponding variables describe a new sanction.

-----

- 00. Detail
- 01. Sanction

-1. Inap., no additional legal action

.....

VAR 0108	STATSAN2	MD=-1
REF 0108	LOC 213 WIDTH 2	DK 4 COL 15-16

#### Q.104 Status of Sanction 2

-----

- 01. Proposed
- 02. Imposed
- 03. Prosecution terminated
- 04. Prosecution terminated, proposed sanction

-1. Inap., no additional legal action

VAR 0109      CONSENT2  
REF 0109      LOC 215 WIDTH 2

MD=-1 OR GE 99  
DK 4 COL 17-18

Q.105 Consent to Sanction 2  
-----

- 01. Corporation consented to sanction
- 02. Corporation did not consent to sanction
- 04. No contest
- 05. Plea of guilty
- 06. Plea of not guilty
  
- 1. Inap., no additional legal action; case open,  
prosecution terminated, charge against officers  
only
- 99. DK; Missing Data

VAR 0110      SANTYPE2  
REF 0110      LOC 217 WIDTH 2

MD=-1 OR GE 99  
DK 4 COL 19-20

Q.106 Type of Sanction 2  
-----

- 01. Court imposed/proposed criminal sanction
- 02. Court imposed/proposed civil sanction
- 03. Administratively imposed/proposed civil sanction
- 04. Administratively imposed/proposed administrative  
sanction
- 05. Court enforcement of agency order
- 06. Referred to Department of Justice - Unknown what  
action was taken
- 07. Voluntary recall (NHTSA and EPA)
- 08. Voluntary measure to comply
  
- 1. Inap., no additional legal action
- 99. Unknown

VAR 0111      AGAINST2  
REF 0111      LOC 219 WIDTH 2

MD=-1  
DK 4 COL 21-22

Q.107 Against Whom is This Sanction Imposed/Proposed: 2  
-----

(CONTINUED)

- 01. Corporation only
- 02. Officer(s) only
- 03. Corporation and officer(s)

-1. Inap., no additional legal action

.....

VAR 0112	LEV1SAN2	MD=-1
REF 0112	LOC 221 WIDTH 2	DK 4 COL 23-24

Q.108 Level 1, Sanction 2

- 
- 01. Unspecified detail
  - 02. Monetary penalty
  - 03. Unilateral order
  - 04. Orders not elsewhere classified
  - 05. Actions enjoined
  - 06. Consent order
  - 07. Nonmonetary penalties against officer(s)
  - 08. Warnings
  - 09. Other sanctions
  - 10. Prosecution terminated
  - 11. Certain ancillary relief

-1. Inap., no additional legal action

.....

VAR 0113	LEV2SAN2	MD=-1
REF 0113	LOC 223 WIDTH 2	DK 4 COL 25-26

Q.109 Level 2, Sanction 2

-----

SEE NOTE(S) 4

-1. Inap., no additional legal action

```
VAR 0114      LEV3SAN2                                MD=-1
REF 0114      LOC  225 WIDTH  2                        DK   4 COL 27-28
```

Q.110 Level 3, Sanction 2

SEE NOTE(S) 4

- 1. Inap., no additional legal action

```
VAR 0115      LEV4SAN2                                MD=-1
REF 0115      LOC 227 WIDTH 3                        DK 4 COL 29-31
```

Q.111 Level 4, Sanction 2

SEE NOTE (S) 4

- 01. Inap., no additional legal action

```
VAR 0116      LEGAL ACTION 3                                MD=-1
REF 0116      LOC 230 WIDTH 2                                DK 4 COL 32-33
```

Q.112 Legal Action 3

Refers to the legal action (indexed in Q.9) which resulted in the imposition of the specified sanction (1-5). Since most corporate behaviors were sanctioned through a single legal action, Legal Action is generally coded "1."

However, when separate legal actions (e.g., criminal and civil) result in sanctions, the correspondence between action and sanction is captured in Legal Action. In this example of parallel criminal and civil proceedings, the criminal case is Legal Action 1 (it being the more severe legal action). The criminal sanctions imposed (in this fictitious case) are a fine and a period of probation. The civil sanction is a restraining order. Legal Action 1 and Legal Action 2 (Q.92 and Q.102) are coded "1" to refer to the criminal case. Variables associated with sanction 1 (Q.93-Q.101) describe the fine; variables associated with



(CONTINUED)

sanction 2 describe the probation. Legal Action 3 (Q.112) is coded "2" (indicating the civil case); variables associated with sanction 3 refer to the restraining order.

---

Actual number is coded.

-1. Inap., no additional legal action

.....

VAR 0117	SANDET 3		MD=-1
REF 0117	LOC 232 WIDTH 2	DK 4 COL	34-35

#### Q.113 Sanction or Detail 3

Sandet variables (1-5) indicate when the corresponding information (in Q.94-Q.101, etc.) refer to a different sanction than that previously described or to the same sanction (in which case, these variables merely provide further detail on the previously referenced sanction). Needless to say, Q.93 can only refer to a sanction (it being the first Sandet variable), but Q.103, Q.113, etc., might be coded "00" to indicate further detail on the previously described sanction. Code "01" indicates that the corresponding variables describe a new sanction.

---

00. Detail  
01. Sanction

-1. Inap., no additional legal action

.....

VAR 0118	STATSAN3		MD=-1
REF 0118	LOC 234 WIDTH 2	DK 4 COL	36-37

#### Q.114 Status of Sanction 3

---

01. Proposed  
02. Imposed  
03. Prosecution terminated  
04. Prosecution terminated, proposed sanction

(CONTINUED)

-1. Inap., no additional legal action

```
VAR 0119      CONSENT3                                MD=-1
REF 0119      LOC 236 WIDTH 2                          DK 4 COL 38-39
```

Q.115 Consent to Sanction 3

- 01. Corporation consented to sanction
- 02. Corporation did not consent to sanction
- 04. No contest
- 05. Plea of guilty
- 06. Plea of not guilty
  
- 1. Inap., no additional legal action; case open,  
prosecution terminated, charge against officers  
only

```
VAR 0120          SANTYPE3                      MD=-1
REF 0120          LOC 238 WIDTH 2              DK 4 COL 40-41
```

Q.116 Type of Sanction 3

- 01. Court imposed/proposed criminal sanction
- 02. Court imposed/proposed civil sanction
- 03. Administratively imposed/proposed civil sanction
- 04. Administratively imposed/proposed administrative sanction
- 05. Court enforcement of agency order
- 06. Referred to Department of Justice - Unknown what action was taken
- 07. Voluntary recall (NHTSA and EPA)
- 08. Voluntary measure to comply
- 1. Inap., no additional legal action

```
VAR 0121      AGAINST3      MD=-1
REF 0121      LOC 240 WIDTH 2      DK 4 COL 42-43
```

Q.117 Against Whom is This Sanction Imposed/Proposed: 3

- 01. Corporation only
- 02. Officer(s) only
- 03. Corporation and officer(s)
- 1. Inap., no additional legal action

```
VAR 0122      LEV1SAN3      MD=-1
REF 0122      LOC 242 WIDTH 2      DK 4 COL 44-45
```

Q.118 Level 1, Sanction 3

- 01. Unspecified detail
  - 02. Monetary penalty
  - 03. Unilateral order
  - 04. Orders not elsewhere classified
  - 05. Actions enjoined
  - 06. Consent order
  - 07. Nonmonetary penalties against officer(s)
  - 08. Warnings
  - 09. Other sanctions
  - 10. Prosecution terminated
  - 11. Certain ancillary relief
- 1. Inap., no additional legal action

```
VAR 0123      LEV2SAN3      MD=-1
REF 0123      LOC  244 WIDTH  2      DK  4 COL 46-47
```

Q.119 Level 2, Sanction 3

SEE NOTE (S) 4

- 1. Inap., no additional legal action

```

VAR 0124      LEV3SAN3      MD=-1
REF 0124      LOC 246 WIDTH 2      DK 4 COL 48-49

```

Q.120 Level 3, Sanction 3

SEE NOTE (S) 4

-01. Inap., no additional legal action

```
VAR 0125      LEV4SAN3      MD=-1
REF 0125      LOC 248 WIDTH 3      DK 4 COL 50-52
```

Q.121 Level 4, Sanction 3

SEE NOTE (S) 4

-1. Inap., no additional legal action

```
VAR 0126      LEGAL ACTION 4                                MD=-1
REF 0126      LOC 251 WIDTH 2                                DK 4 COL 53-54
```

Q.122 Legal Action 4

Refers to the legal action (indexed in Q.9) which resulted in the imposition of the specified sanction (1-5). Since most corporate behaviors were sanctioned through a single legal action, Legal Action is generally coded "1."

However, when separate legal actions (e.g., criminal and civil) result in sanctions, the correspondence between action and sanction is captured in Legal Action. In this example of parallel criminal and civil proceedings, the criminal case is Legal Action 1 (it being the more severe legal action). The criminal sanctions imposed (in this fictitious case) are a fine and a period of probation. The civil sanction is a restraining order. Legal Action 1 and Legal Action 2 (Q.92 and Q.102) are coded "1" to refer to the criminal case. Variables associated with sanction 1 (Q.93-Q.101) describe the fine; variables associated with

(CONTINUED)

sanction 2 describe the probation. Legal Action 3 (Q.112) is coded "2" (indicating the civil case); variables associated with sanction 3 refer to the restraining order.

---

Actual number is coded.

-1. Inap., no additional legal action

.....

VAR 0127	SANDET 4		MD=-1
REF 0127	LOC 253 WIDTH 2	DK 4 COL	55-56

#### Q.123 Sanction or Detail 4

Sandet variables (1-5) indicate when the corresponding information (in Q.94-Q.101, etc.) refer to a different sanction than that previously described or to the same sanction (in which case, these variables merely provide further detail on the previously referenced sanction). Needless to say, Q.93 can only refer to a sanction (it being the first Sandet variable), but Q.103, Q.113, etc., might be coded "00" to indicate further detail on the previously described sanction. Code "01" indicates that the correspondin variables describe a new sanction.

---

- 00. Detail
- 01. Sanction

-1. Inap., no additional legal action

.....

VAR 0128	STATSAN4		MD=-1
REF 0128	LOC 255 WIDTH 2	DK 4 COL	57-58

#### Q.124 Status of Sanction 4

---

- 01. Proposed
- 02. Imposed
- 03. Prosecution terminated
- 04. Prosecution terminated, proposed sanction

```
VAR 0129      CONSENT 4                                MD=-1
REF 0129      LOC 257 WIDTH 2                        DK 4 COL 59-60
```

01. Corporation consented to sanction  
02. Corporation did not consent to sanction  
04. No contest  
05. Plea of guilty  
06. Plea of not guilty

```
VAR 0130          SANTYPE4                      MD=-1
REF 0130          LOC 259 WIDTH 2                DK 4 COL 61-62
```

01. Court imposed/proposed criminal sanction
02. Court imposed/proposed civil sanction
03. Administratively imposed/proposed civil sanction
04. Administratively imposed/proposed administrative sanction
05. Court enforcement of agency order
06. Referred to Department of Justice - Unknown what action was taken
07. Voluntary recall (NHTSA and EPA)
08. Voluntary measure to comply

-1. Inap., no additional legal action

VAR 0131      AGAINST4      MD=-1  
REF 0131      LOC 261 WIDTH 2      DK 4 COL 63-64

Q.127 Against Whom is This Sanction Imposed/Proposed: 4  
-----

- 01. Corporation only
  - 02. Officer(s) only
  - 03. Corporation and officer(s)
  - 1. Inap., no additional legal action
- .....

VAR 0132      LEVISAN4      MD=-1  
REF 0132      LOC 263 WIDTH 2      DK 4 COL 65-66

Q.128 Level 1, Sanction 4  
-----

- 01. Unspecified detail
  - 02. Monetary penalty
  - 03. Unilateral order
  - 04. Orders not elsewhere classified
  - 05. Actions enjoined
  - 06. Consent order
  - 07. Nonmonetary penalties against officer(s)
  - 08. Warnings
  - 09. Other sanctions
  - 10. Prosecution terminated
  - 11. Certain ancillary relief
  - 1. Inap., no additional legal action
- .....

VAR 0133      LEV2SAN4      MD=-1  
REF 0133      LOC 265 WIDTH 2      DK 4 COL 67-68

Q.129 Level 2, Sanction 4  
-----

SEE NOTE(S) 4

- 1. Inap., no additional legal action

```
VAR 0134      LEV3SAN4      MD=-1
REF 0134      LOC 267 WIDTH 2      DK 4 COL 69-70
```

Q.130 Level 3, Sanction 4

SEE NOTE (S) 4

- 1. Inap., no additional legal action

```

VAR 0135      LEV4SAN4      MD=-1
REF 0135      LOC 269 WIDTH 3      DK 4 COL 71-73

```

Q.131 Level 4, Sanction 4

SEE NOTE (S) 4

- 01. Inap., no additional legal action

```
VAR 0136      LEGAL ACTION 5                                MD=-1
REF 0136      LOC 272 WIDTH 2                                DK 4 COL 74-75
```

Q.132 Legal Action 5

Refers to the legal action (indexed in Q.9) which resulted in the imposition of the specified sanction (1-5). Since most corporate behaviors were sanctioned through a single legal action, Legal Action is generally coded "1."

However, when separate legal actions (e.g., criminal and civil) result in sanctions, the correspondence between action and sanction is captured in Legal Action. In this example of parallel criminal and civil proceedings, the criminal case is Legal Action 1 (it being the more severe legal action). The criminal sanctions imposed (in this fictitious case) are a fine and a period of probation. The civil sanction is a restraining order. Legal Action 1 and Legal Action 2 (Q.92 and Q.102) are coded "1" to refer to the criminal case. Variables associated with sanction 1 (Q.93-0.101) describe the fine; variables associated with



(CONTINUED)

sanction 2 describe the probation. Legal Action 3 (Q.112) is coded "2" (indicating the civil case); variables associated with sanction 3 refer to the restraining order.

---

Actual number is coded.

-1. Inap., no additional legal action

.....

VAR 0137	SANDET 5		MD=-1
REF 0137	LOC 274 WIDTH 2	DK 4 COL	76-77

#### Q.133 Sanction or Detail 5

Sandet variables (1-5) indicate when the corresponding information (in Q.94-Q.101, etc.) refer to a different sanction than that previously described or to the same sanction (in which case, these variables merely provide further detail on the previously referenced sanction). Needless to say, Q.93 can only refer to a sanction (it being the first Sandet variable), but Q.103, Q.113, etc., might be coded "00" to indicate further detail on the previously described sanction. Code "01" indicates that the corresponding variables describe a new sanction.

---

00. Detail  
01. Sanction

-1. Inap., no additional legal action

.....

VAR 0138	STATSAN5		MD=-1
REF 0138	LOC 276 WIDTH 2	DK 4 COL	78-79

#### Q.134 Status of Sanction 5

---

01. Proposed  
02. Imposed  
03. Prosecution terminated  
04. Prosecution terminated, proposed sanction

(CONTINUED)

-1. Inap., no additional legal action

DECK IDENTIFICATION NUMBER IS '05'

DK 5 COL 1- 2

.....  
VAR 0001 ICPSR STUDY NUM NO MISSING DATA CODES  
REF 0001 LOC 1 WIDTH 4 DK 5 COL 3- 6

ICPSR Study Number-7855

7855. The ICPSR has attached this number as a unique  
data collection identification number.

.....  
VAR 0002 ICPSR EDITION NUM NO MISSING DATA CODES  
REF 0002 LOC 5 WIDTH 1 DK 5 COL 7

ICPSR Edition Number-2

The number identifying the release edition of the data  
collection.

2. Fall, 1983 release

.....  
VAR 0003 ICPSR PART NUM NO MISSING DATA CODES  
REF 0003 LOC 6 WIDTH 1 DK 5 COL 8

ICPSR Part Number-2

2. Part two of a two-part data collection.

VAR 0004      ICPSR CASE ID      NO MISSING DATA CODES  
 REF 0004      LOC    7 WIDTH    4      DK    5 COL    9-12

ICPSR Sequential Case Identification Number

The ICPSR has attached a sequential identification number to every case. This number uniquely identifies each record in the data collection.

VAR 0139      CONSENT5      MD=-1  
 REF 0139      LOC    278 WIDTH    2      DK    5 COL    13-14

Q.135    Consent to Sanction 5

- 01. Corporation consented to sanction
- 02. Corporation did not consent to sanction
- 04. No contest
- 05. Plea of guilty
- 06. Plea of not guilty
- 1. Inap., no additional legal action; case open, prosecution terminated, charge against officers only

VAR 0140      SANTYPE5      MD=-1  
 REF 0140      LOC    280 WIDTH    2      DK    5 COL    15-16

Q.136    Type of Sanction 5

- 01. Court imposed/proposed criminal sanction
- 02. Court imposed/proposed civil sanction
- 03. Administratively imposed/proposed civil sanction
- 04. Administratively imposed/proposed administrative sanction
- 05. Court enforcement of agency order
- 06. Referred to Department of Justice - Unknown what action was taken
- 07. Voluntary recall (NHTSA and EPA)
- 08. Voluntary measure to comply

(CONTINUED)

-1. Inap., no additional legal action

```

VAR 0141      AGAINST5                                MD=-1
REF 0141      LOC 282 WIDTH 2                        DK 5 COL 17-18

```

Q.137 Against Whom is This Sanction Imposed/Proposed: 5

01. Corporation only  
02. Officer(s) only  
03. Corporation and officer(s)

-1. Inap., no additional legal action

```

VAR 0142      LEVISAN5                                MD=-1
REF 0142      LOC 284 WIDTH 2                          DK 5 COL 19-20

```

Q.138 Level 1, Sanction 5

01. Unspecified detail
02. Monetary penalty
03. Unilateral order
04. Orders not elsewhere classified
05. Actions enjoined
06. Consent order
07. Nonmonetary penalties against officer(s)
08. Warnings
09. Other sanctions
10. Prosecution terminated
11. Certain ancillary relief

-1. Inap., no additional legal action

VAR 0143      LEV2SAN5      MD=-1  
REF 0143      LOC 286 WIDTH 2      DK 5 COL 21-22

Q.139 Level 2, Sanction 5  
-----

SEE NOTE(S) 4

-1. Inap., no additional legal action

.....

VAR 0144      LEV3SAN5      MD=-1  
REF 0144      LOC 288 WIDTH 2      DK 5 COL 23-24

Q.140 Level 3, Sanction 5  
-----

SEE NOTE(S) 4

-1. Inap., no additional legal action

.....

VAR 0145      LEV4SAN5      MD=-1  
REF 0145      LOC 290 WIDTH 3      DK 5 COL 25-27

Q.141 Level 4, Sanction 5  
-----

SEE NOTE(S) 4

-01. Inap., no additional legal action

.....

[FOR Q.142 - Q.146 -- ] These variables are coded according to government level, e.g., if a FEDERAL case is documented then only FEDERAL sanctions are counted; if a STATE case is documented then only STATE sanctions are counted, etc.

VAR 0146	TOT # DIFF SANCTIONS	MD=-1 OR GE 99
REF 0146	LOC 293 WIDTH 2	DK 5 COL 28-29

Q.142 Total Number of Different Types of Imposed Sanctions

-----

Actual number is coded.

- 1. Missing Data
- 99. Inap., case open; unspecified sanction

.....

VAR 0147	TOT # IMP SANCTIONS	MD=-1 OR GE 99
REF 0147	LOC 295 WIDTH 2	DK 5 COL 30-31

Q.143 Total Number of Separate Sanctions Imposed

-----

Actual number is coded.

- 1. Missing Data
- 99. Inap., case open; unspecified sanction

.....

VAR 0148	TOT # PRO SANCTIONS	MD=-1 OR GE 99
REF 0148	LOC 297 WIDTH 2	DK 5 COL 32-33

Q.144 Total Number of Sanctions Proposed

-----

Actual number is coded.

- 1. Missing Data
- 99. Inap., case open; unspecified sanction

.....

VAR 0149	TOT # SANCS AGNST CORP	MD=-1 OR GE 99
REF 0149	LOC 299 WIDTH 2	DK 5 COL 34-35

Q.145 Total Number of Sanctions Against Corporation

-----

(CONTINUED)

Actual number is coded.

- 1. Missing Data
- 99. Inap., case open; unspecified sanction

.....

VAR 0150	TOT # SANCS AGNST OFF	MD=-1 OR GE 99
REF 0150	LOC 301 WIDTH 2	DK 5 COL 36-37

#### Q.146 Total Number of Sanctions Against Officer(s)

-----

Actual number is coded.

- 1. Missing Data
- 99. Inap., open case; unspecified sanction

.....

VAR 0151	AMNT MONTRY PNLTY	MD=9999999 OR LE -1
REF 0151	LOC 303 WIDTH 8	DK 5 COL 38-45

#### Q.147 Amount of Monetary Penalty

-----

Actual number is coded.

- 0000001. Inap., no monetary penalty involved
- 0000002. Inap., case open; unknown whether there would be a monetary penalty
- 09999999. Unknown value

.....

VAR 0152	TOT AMNT OFF FINES	MD=-1 OR GE 999999
REF 0152	LOC 311 WIDTH 6	DK 5 COL 46-51

#### Q.148 Amount of Fine(s) for All Officers Involved

-----

Actual number is coded.

(CONTINUED)

-00001. Inap., no monetary penalties against officers  
999999. Unknown value

.....  
VAR 0153      TOT OFF IMPRSNMT: DAYS      MD=-1 OR GE 999  
REF 0153      LOC 317 WIDTH 3      DK 5 COL 52-54

Q.149 Total Time of Imprisonment of Officers Involved  
(days)  
-----

Actual number is coded.

NOTE: The units of analysis for Q.149 are LEGAL ACTIONS,  
not individual officers. This variable may include portions  
of suspended sentences.

-01. Inap., no officers imprisoned  
999. Missing Data

.....  
VAR 0154      TOT OFF PROBATN: MOS      MD=-1 OR GE 99  
REF 0154      LOC 320 WIDTH 2      DK 5 COL 55-56

Q.150 Total Time of Probation or Supervision of All  
Officers Involved (Months)  
-----

Actual number is coded.

NOTE: The units of analysis for Q.150 are LEGAL ACTIONS,  
not individual officers.

-1. Inap., no probationary sanctions imposed against  
officers  
99. Missing Data



VAR 0155 AMTSANCT  
REF 0155 LOC 322 WIDTH 9

MD=999999 OR LE -1  
DK 5 COL 57-65

#### Q.151 Amount of Sanction

This variable indicates how many items the sanction involved; e.g., how many items recalled, the cost of the equipment the firm is required to install, the amount of damages to be paid, etc. It is distinct from monetary penalties, indicated in Q.147

-----

Actual number is coded.

-00000001. Inap., open case  
009999999. Inap., could not quantify cost of penalty to violator

VAR 0156 UNIT OF AMNT OF SANC  
REF 0156 LOC 331 WIDTH 2

MD=-1 OR GE 99  
DK 5 COL 66-67

#### Q.152 Unit of Amount of Sanction

-----

01. Gallons
02. Dollars
03. Units of clothing
04. Household appliances
05. Units of fabric
06. Garden and lawn equipment
07. Lighting equipment
08. Transportation equipment
09. Bottles, cans
10. Bolts, nuts, screws
11. Farm machinery, equipment
12. Sporting goods
13. Electronic equipment
14. Tires
15. Work sites or structures
16. Vials
17. Units (unspecified)
18. Medical devices (eg., tubes, filters, gas evacuator/relief valves, x-ray machines, pacemakers, spectrophotometers)
19. Cylinders

(CONTINUED)

- 20. Syringes
- 21. Trays
- 22. Containers
- 23. Cases
- 24. Ampules
- 25. Tablets
- 26. Kits
- 27. Cartons
- 28. Bags
- 29. Cartridges
- 30. Canisters
- 31. Boxes
- 32. Bales
- 33. Pouches
- 34. Pounds
- 35. Tubes
- 36. Packages
- 37. Tons

- 1. Inap., case open
- 99. Inap., could not quantify cost of penalty to violator

.....

VAR 0157	SOURCE1:AGNC INFO	MD=9
REF 0157	LOC 333 WIDTH 1	DK 5 COL 68

Q.153 Source of Information: Agency information sent to research staff

-----

Dummy variable

- 0. Indicates particular source was not used
- 1. Indicates particular source was used
- 9. Missing Data

.....

VAR 0158	SOURCE2:LAW SRVC	MD=9
REF 0158	LOC 334 WIDTH 1	DK 5 COL 69

Q.154 Source of Information: Law Services (e.g., Commerce Clearinghouse, Bureau of National Affairs)

-----

(CONTINUED)

Dummy variable

- 0. Indicates particular source was not used
- 1. Indicates particular source was used
- 9. Missing Data

.....

VAR 0159	SOURCE3:10-K CORP RPRTS	MD=9
REF 0159	LOC 335 WIDTH 1	DK 5 COL 70

Q.155 Source of Information: Corporate 10-k reports to the  
Securities and Exchange Commission

-----

Dummy variable

- 0. Indicates particular source was not used
- 1. Indicates particular source was used
- 9. Missing Data

.....

VAR 0160	SOURCE4:ANNL RPRTS	MD=9
REF 0160	LOC 336 WIDTH 1	DK 5 COL 71

Q.156 Source of Information: Annual reports of government  
agencies

-----

Dummy variable

- 0. Indicates particular source was not used
- 1. Indicates particular source was used
- 9. Missing Data

VAR 0161      SOURCE5:CORR W/ CORP      MD=9  
REF 0161      LOC 337 WIDTH 1      DK 5 COL 72

Q.157 Source of Information: Correspondence with the  
corporation  
-----

Dummy variable

- 0. Indicates particular source was not used
- 1. Indicates particular source was used
- 9. Missing Data

.....

VAR 0162      SOURCE6:OTHER CORP RPRTS      MD=9  
REF 0162      LOC 338 WIDTH 1      DK 5 COL 73

Q.158 Source of Information: Corporate reports other than  
10-Ks (e.g., annual reports, 8-Ks to the SEC)  
-----

Dummy variable

- 0. Indicates particular source was not used
- 1. Indicates particular source was used
- 9. Missing Data

.....

VAR 0163      SOURCE7:WALL ST JRNL      MD=9  
REF 0163      LOC 339 WIDTH 1      DK 5 COL 74

Q.159 Source of Information: Wall Street Journal  
-----

Dummy variable

- 0. Indicates particular source was not used
- 1. Indicates particular source was used
- 9. Missing Data

VAR 0164 SOURCE8:NY TIMES MD=9  
REF 0164 LOC 340 WIDTH 1 DK 5 COL 75

Q.160 Source of Information: New York Times  
-----

Dummy variable

- 0. Indicates particular source was not used
- 1. Indicates particular source was used
- 9. Missing Data

.....  
VAR 0165 SOURCE9:TRAD JRNL MD=9  
REF 0165 LOC 341 WIDTH 1 DK 5 COL 76

Q.161 Source of Information: Industrial Trade Journals  
-----

Dummy variable

- 0. Indicates particular source was not used
- 1. Indicates particular source was used
- 9. Missing Data

.....  
VAR 0166 SOURCE10:GOVT PUBS MD=9  
REF 0166 LOC 342 WIDTH 1 DK 5 COL 77

Q.162 Source of Information: Government Agency  
Releases/Publications  
-----

Dummy variable

- 0. Indicates particular source was not used
- 1. Indicates particular source was used
- 9. Missing Data

VAR 0167      SOURCE11:OTHER      NO MISSING DATA CODES  
 REF 0167      LOC 343 WIDTH 1      DK 5 COL 78

Q.163 Source of Information: Other

Dummy variable

- 0. Indicates particular source was not used
- 1. Indicates particular source was used

.....

VAR 0168      PROB 1      MD=-1  
 REF 0168      LOC 344 WIDTH 2      DK 5 COL 79-80

Q.164 Problem code 1

SEE NOTE(S) 5

Corresponds to peculiarities in particular cases.

- 1. Inap., no peculiarities

DECK IDENTIFICATION NUMBER IS '06'      DK 6 COL 1- 2

.....

VAR 0001      ICPSR STUDY NUM      NO MISSING DATA CODES  
 REF 0001      LOC 1 WIDTH 4      DK 6 COL 3- 6

ICPSR Study Number-7855

- 7855. The ICPSR has attached this number as a unique data collection identification number.

VAR 0002	ICPSR EDITION NUM	NO MISSING DATA CODES
REF 0002	LOC 5 WIDTH 1	DK 6 COL 7

#### ICPSR Edition Number-2

The number identifying the release edition of the data collection.

#### 2. Fall, 1983 release

VAR 0003	ICPSR PART NUM	NO MISSING DATA CODES
REF 0003	LOC 6 WIDTH 1	DK 6 COL 8

#### ICPSR Part Number-2

#### 2. Part two of a two-part data collection.

VAR 0004	ICPSR CASE ID	NO MISSING DATA CODES
REF 0004	LOC 7 WIDTH 4	DK 6 COL 9-12

#### ICPSR Sequential Case Identification Number

The ICPSR has attached a sequential identification number to every case. This number uniquely identifies each record in the data collection.

VAR 0169	PROB 2	MD=-1
REF 0169	LOC 346 WIDTH 2	DK 6 COL 13-14

#### Q.165 Problem code 2

SEE NOTE (S) 5

(CONTINUED)

Corresponds to peculiarities in particular cases.

-1. Inap., no peculiarities

.....

VAR 0170	PROB 3		MD=-1
REF 0170	LOC 348 WIDTH 2	DK 6 COL 15-16	

Q.166 Problem code 3  
-----

SEE NOTE(S) 5

Corresponds to peculiarities in particular cases.

-1. Inap., no peculiarities

.....

VAR 0171	PROB 4		MD=-1
REF 0171	LOC 350 WIDTH 2	DK 6 COL 17-18	

Q.167 Problem code 4  
-----

SEE NOTE(S) 5

Corresponds to peculiarities in particular cases.

-1. Inap., no peculiarities

.....

VAR 0172	PRIM IND CONCENTRATN		MD=-1
REF 0172	LOC 352 WIDTH 2	DK 6 COL 19-20	

Q.168 Primary Industrial Concentration  
-----

SIC code identifies industry of primary concern for corporation. For SIC code documentation see:



(CONTINUED)

U.S. Dept. of Commerce, Bureau of Census,  
1972 CENSUS OF MANUFACTURERS Vol I Appendix B

-1. Missing Data

.....

VAR 0173	NET SALES	NO MISSING DATA CODES
REF 0173	LOC 354 WIDTH 9	DK 6 COL 21-29
		IMP DEC= 2

Q.169 Annual Sales Minus Distribution Costs in Thousands of Dollars

-----

Actual number is coded.

.....

VAR 0174	SUBSIDIARY CORP	NO MISSING DATA CODES
REF 0174	LOC 363 WIDTH 2	DK 6 COL 30-31

Q.170 Is Corporation a Subsidiary

-----

00. No  
01. Yes

.....

VAR 0175	INDCLASS BY FORTUNE MAG	MD=-1
REF 0175	LOC 365 WIDTH 2	DK 6 COL 32-33

Q.171 Industry Classification by Fortune Magazine

-----

- 10. Mining and Oil Production
- 20. Food
- 23. Apparel
- 26. Paper, Fiber, Wood
- 28. Chemicals
- 29. Petroleum Refining
- 33. Metal Manufacturing
- 34. Metal Products
- 36. Electronics and Appliances

(CONTINUED)

- 40. Motor Vehicles
- 41. Aerospace
- 42. Drugs
- 45. Industry and Farm Equipment
- 49. Beverages
- 50. Other

-1.

## APPENDIX

## \*\*\* NOTE 6 \*\*\*

- 010 DEPARTMENT OF AGRICULTURE
  - 011 Agricultural Marketing Agreement Act
  - 012 Packers and Stockyards Administration
  - 013 Perishable Agricultural Commodities Service
- 020 CONSUMER PRODUCT SAFETY COMMISSION
- 030 ENVIRONMENTAL PROTECTION AGENCY
- 040 EQUAL EMPLOYMENT OPPORTUNITY COMMISSION
- 050 FEDERAL TRADE COMMISSION
- 060 FOOD AND DRUG ADMINISTRATION
- 070 DEPARTMENT OF JUSTICE
  - 071 Antitrust Division
  - 072 Criminal Division
  - 073 Land and Natural Resources Division
  - 074 Tax Division
- 080 DEPARTMENT OF LABOR
  - 081 Employment Standards Administration
  - 082 Office of Employee Benefits
  - 083 Office of Federal Contract Compliance Programs
  - 084 Office of Workmen's Compensation Program
  - 085 Wage and Hour Division
  - 086 Occupational Safety and Health Administration
- 090 NATIONAL LABOR RELATIONS BOARD
- 100 SECURITIES AND EXCHANGE COMMISSION
- 110 DEPARTMENT OF THE TREASURY
  - 111 Internal Revenue Service
  - 112 U.S. Customs Service
- 120 DEPARTMENT OF TRANSPORTATION
  - 121 U.S. Coast Guard
  - 122 National Highway Traffic Safety Administration
- 130 U.S. GRAND JURY
- 140 FEDERAL ENERGY ADMINISTRATION
- 150 FEDERAL POWER COMMISSION

- 160 NUCLEAR REGULATORY COMMISSION (formerly Atomic Energy Commission)
- 170 DEPARTMENT OF STATE
- 180 DEPARTMENT OF THE INTERIOR
- 190 DEPARTMENT OF COMMERCE
- 200 ARMY CORPS OF ENGINEER
- 210 OTHER AGENCY (unspecified from U.S. Coast Guard data)
- 220 OTHER AGENCY
- 230 STATE AGENCY
- 240 LOCAL AGENCY
- 250 COMMANDANT, U.S. COAST GUARD
- 260 STATE/LOCAL AGENCY (unspecified from U.S. Coast Guard data)
- 270 U.S. FEDERAL DISTRICT COURT
- 280 STATE COURT
- 290 FEDERAL APPELLATE COURT
- 300 OCCUPATIONAL SAFETY AND HEALTH REVIEW COMMISSION
- 310 STATE APPELLATE COURT
- 320 DEPARTMENT OF DEFENSE
- 330 COUNTY COURT
- 340 STATE ATTORNEY GENERAL
- 999 UNKNOWN

\*\*\* NOTE 7 \*\*\*

#### VICTIM CODES

1 ACTIONS DIRECTED AGAINST THE CONSUMER (QUALITY OF PRODUCT/SAFETY)

Consumer Product Safety Commission  
 Food and Drug Administration  
 National Highway Traffic Safety Administration

## 2 ACTIONS DIRECTED AGAINST THE CONSUMER (ECONOMIC POWER)

Credit violations

Misrepresentation in advertising and sales

Financial violations--Transaction violations--Sales terms  
(involving consumer)

## 3 ACTIONS DIRECTED AGAINST THE ECONOMIC SYSTEM

All Unfair Trade Practices except credit violations and  
misrepresentation

Financial violations--Disclosure

Financial violations--Transaction violations--Sales terms  
(involving a company)

Financial violations--Transaction violations--Purchase terms

Financial violations--Transaction violations--Agreement  
terms

Financial violations--Accounting (recording)

## 4 ACTIONS DIRECTED AGAINST THE ENVIRONMENT

Pollution

Oil spills

## 5 ACTIONS DIRECTED AGAINST THE LABOR FORCE

Occupational Safety and Health Administration

Equal Employment Opportunity Commission

National Labor Relations Board

Office of Employee Benefits

Employment Standards Administration

Office of Workmen's Compensation Program

Wage and Hour Division

## 6 ACTIONS DIRECTED AGAINST THE GOVERNMENT (AGENCIES)

Violations of administrative orders

Financial violations--Tax violations

## 7 UNSPECIFIED VICTIM