Report Preparation & Processing Guide

111122

UNITED STATES GENERAL ACCOUNTING OFFICE

DECEMBER 1979

FOREWORD

This guide was prepared for quick and convenient reference to GAO's reporting policies. It should be useful to report writers and reviewers throughout the office. It is designed to supplement the Report Manual and make it easier to use. It also should be used in conjunction with the Checklist for Report Writers and Reviewers.

There are two parts—one deals with report preparation, format, organization, and content and the other deals with report processing procedures and forms.

Part I illustrates the various parts of a report in chapter format. The facing page (left side) highlights major points that should be considered in preparing a report. The page is cross referenced to the Report Manual where additional information may be found.

Part II gives step-by-step instructions on how to process a report and illustrates what must be included in the signature and review packages.

Comments and suggestions for improvements should be submitted to the Director, Office of Policy. Additional copies of the guide may be obtained from the Distribution Section.

W.J. Anderson

Director, Office
of Policy

December 1979

CONTENTS

PART I

PART II

REPORT PREPARATION

Experience has shown that the two basic formats--chapter and letter--are flexible enough for us to effectively discharge most of our reporting responsibilities. The Office of Policy should be consulted before using any other format.

Chapter Format

The chapter format is preferred if the report is lengthy. With few exceptions, the chapter format should be used in reports prepared for the Comptroller General's signature if the text will exceed 10 pages.

The makeup of a report in chapter format addressed to the Congress is illustrated in this part.

Except for some differences in the basic transmittal letter, chapter format requirements for reports addressed to congressional requesters or agency officials are the same. Basic transmittal letters for these reports are illustrated at the end of this part.

Letter Format

The letter format (either with or without covers) usually will be appropriate when the information to be reported is relatively short or when there is some other good reason for not using the more formal chapter format. Letter reports without covers, including those signed by a division director or his designee, will have a title in the form of a subject line, a report number and date, a B-number, and job assignment code on the first page. (RM 9-4 and 9-15.)

The details usually should not be in the body of the letter if the material is lengthy. Instead, the report should be a brief transmittal letter summarizing the most important points, including any recommendations, followed by enclosures: financial statements or schedules, exhibits and/or appendixes. Although not required, in some cases it will be helpful to include a table of contents.

REPORT COVERS
REPORT MANUAL CHAPTER 9

		PAGE
(1)	COVER STYLES	9-7

- o Five cover styles, i.e., to the Congress, to committees, etc.

(2) REPORT TITLE 9-5
- o Specific, informative, and constructive in tone,
- o Avoid abbreviations, acronyms, and dates.
- o Length limited to three lines of 3 or 4 words to a line.
- o Information Officer must review if report signed by Comptroller General. (Unclassified only).
- o Mention names of Department and/or agency, if possible.
- o Unbound letter reports will have a title in the form of a subject line on the first page. (RM 9-4)

(3) COVER SUMMARY 9-6
- o Not permitted on classified reports.
- o Required on all bound unclassified reports signed by the Comptroller General or by directors.
- o Highlight the most important matters discussed in the report.
- o Avoid abbreviations, unless well known.
- o Names of Departments and/or agencies (unless in title)
- o Information Officer must review if report signed by the Comptroller General (unclassified only). (RM 19-4)

(4) REPORT NUMBER 9-6
- o Unclassified: Identify, Division - Fiscal Year - Report Control No.
- o Classified: Report number should also contain a "C" before the division identification (e.g. C-LCD-80-1).
- o All reports should have a report number

GENERAL NOTES

COVER REQUIREMENT 9-4
- o Required on (1) classified reports, (2) reports to the Congress (3) reports in chapter format, and (4) draft reports released outside the office (RM 9-7).
- o Desirable on letter reports
  - —Signed by the Comptroller General and likely to receive wide distribution.
  - —Over 10 pages long or which have numerous or lengthy enclosures.
- o Special artwork or design on covers must be approved by the Director, Office of Policy, and the Information Officer. (RM 19-4)

*** General notes continued on page I-3a ***

BY THE COMPTROLLER GENERAL

Report To The Congress

OF THE UNITED STATES 1

Speedy Trial Act--Its Impact On The Judicial System Still Unknown 2

District courts have not fully identified or documented problems of complying with the Speedy Trial Act. When it becomes effective July 1, 1979, the act will permanently establish a 100-day arrest-to-trial time for disposition of Federal criminal cases. 3

No objective evidence exists for deciding if this time limit should be altered. Many district judges and U.S. attorneys anticipate that under most circumstances defendants will be processed within the required time, but they believe trade-offs will result that could decrease the system's ability to promote justice.

GAO recommends actions and suggests alternatives which will allow the judiciary and the Congress to decide how the courts can fully comply with the act and minimize potential adverse effects on the judicial system.

4

GGD-79-55
MAY 2, 1979

BASIC TRANSMITTAL LETTER
REPORT TO THE CONGRESS
REPORT MANUAL CHAPTER 10

*** General notes on p. I-5a ***

COMPTROLLER GENERAL OF THE UNITED STATES
WASHINGTON, D.C. 20548

B-163922 1

To the President of the Senate and the 2
Speaker of the House of Representatives

This report points out problems in two programs administered by the Department of Labor under the Comprehensive Employment and Training Act of 1973--the Apprenticeship Outreach Program and the National On-The-Job Training Program. 3
We made this review to determine if these two programs are effectively enhancing the employment opportunities of economically disadvantaged minority groups. 4

We are sending copies of this report to the Director, Office of Management and Budget, and to the Secretary of Labor. 5

Comptroller General
of the United States 6

GENERAL NOTES

Basic transmittal letters are used to send a report to the addressee. Some other matters which should be considered:

- o Do not use to summarize the message of the report if it contains a digest.
- o Avoid abbreviations
- o Do not refer to the report as an enclosure. (RM 10-1)
- o The lack of adequate advance review and comment or any limitations on the use of the report information should be noted. (RM 10-4, 5-15, 6-1)
- o Cite the applicable law as authority for our audit when we are directed to do an assignment pursuant to a specific law. (RM 2-1 and 10-3)

DIGEST
REPORT MANUAL CHAPTER 11

1 HEADINGS 11-4
- o Title should be the same as that on the cover.

2 FINDINGS AND CONCLUSIONS 11-2
- o Briefly and clearly state the principal findings and conclusions.
- o Examples are encouraged.
- o Include dates, or any limitations on our work, which are important in placing our findings and conclusions in perspective.

3 PAGE AND/OR CHAPTER REFERENCES 11-4
- o Use page and/or chapter references to refer readers to the detailed discussion in the body of the report.

4 REPORT NUMBER 19-5
- o Use the same number as on the cover (See page I-2).

5 RECOMMENDATIONS OR SUGGESTIONS 11-2
- o Do not simply refer the reader to the body of the report. Summarize the principal recommendations and/or suggestions (1) to agency officials and (2) for congressional action.
- o Recommendations should be stated in the present tense, e.g., GAO recommends or is recommending.

6 VIEWS OF RESPONSIBLE OFFICIALS 11-2
- o Clearly show the thrust of advance comments, whether written or oral, on our findings, conclusions and recommendations together with any evaluative comments.
- o When we disagree with the agency's comments, the digest should make this clear.
- o If comments were not obtained and the report contains direct, indirect, or implied criticism of a person, an agency, or a non-Federal organization, state the reason why comments were not solicited. (RM 6-1, 2 and 3)
- o When advance comments were requested but not received, we should disclose this fact and the related circumstances. (RM 6-1, 10 and 11)
- o If a division director believes it is desirable to obtain comments from trade, industry, professional or other interested organizations when our recommendations may lead to changes in Government policies or standards affecting these groups, or those they represent, he should discuss this matter with the Comptroller General, the Deputy Comptroller General, or the Assistant to the Comptroller General for Policy and Program Planning. (RM 6-2)

* * * General notes on page I-8 * * *

COMPTROLLER GENERAL'S REPORT TO THE CONGRESS

1

QUESTIONABLE NEED FOR SOME DEPARTMENT OF LABOR TRAINING PROGRAMS

D I G E S T

2 EXAMPLE A

The Small Business Administration requires employees in key positions to file a statement of outside employment and financial interest. Many employees making or influencing decisions do not file statements because regulations emphasize an employee's grade level rather than his duties. Also, statements that are filed are not closely reviewed by the agency.

The regulations should be revised to require all employees in decision making or influencing positions to file financial disclosure statements. Improvements are also needed for the standards-of-conduct for those who review financial statements. (See p. 12.)

2 EXAMPLE B

The synthetic narcotic methadone, used to treat heroin addiction, can be medically beneficial but when these drugs are misused they can cause injury and death.

Eight hundred methadone related deaths (either used alone or in combination with other drugs) reported for 22 metropolitan areas in fiscal year 1975, show that the illicit use of methadone is a serious problem. (See p. 7.) 3

The Drug Enforcement Administration has been unable to carry out an effective methadone anti-diversion program because it has no authority to regulate and enforce activities to control diversion from treatment programs. This condition has been corrected. (See p. 29.)

The Food and Drug Administration needs to act decisively against persons in methadone treatment programs who violate Federal regulations and to improve its inspection program. (See p. 11.)

i HRD-77-82 4

(Illustration continued on page I-9)

GENERAL NOTES

Except for classified reports, digests are required in all chapter format reports signed by the Comptroller General or by directors. Because many recipients will read only the digest, it must present the major issues covered in the report clearly, accurately and fairly. Digests should:

- o Have side captions when they will help the reader. They are not required, however. (RM 11-4)
- o Use short sentences and paragraphs and simple nontechnical words.
- o Use third person construction ("GAO recommends", etc.).
- o Use only well known abbreviations which are approved by the Information Officer. (RM 11-4)
- o State limitations on report distribution:
  - —Unless restriction is based solely on requester's wishes to delay general distribution, state why the distribution is restricted. (Underline for emphasis.) (RM 11-3).
  - —Special notice may also be required. (RM 9-8)
- o Be reviewed by the Information Officer if the report is to be signed by the Comptroller General. (RM 19-4)
- o Alert the reader that an appendix exists showing a complete listing of the Government entities, persons, and non-Government organizations when some, but not all, third parties involved are identified in the text to illustrate the problems. (RM 5-11)
- o Not introduce facts or opinions not in the report. (RM 11-1)
- o Not exceed four pages except in those rare cases when a longer digest is essential to effectively communicate the report's message.

Classified reports will not contain digests, as discussed in Chapter 18 of the Report Manual.

5 EXAMPLE A - RECOMMENDATIONS TO AN AGENCY HEAD

GAO recommends that the Secretary of Health, Education, and Welfare limit allowances for laboratory services under Medicare and Medicaid to the lowest charges widely and consistently available in a locality. Also, the Secretary should establish policy and instructions on handling charges for services claimed by physicians. (See p. 5.)

5 EXAMPLE B - RECOMMENDATION TO THE CONGRESS

The Congress should enact legislation to

--eliminate the waiting period for Medicare coverage to resume for transplant patients who reject their transplants after 12 months and

--encourage greater use of home dialysis treatment by providing an incentive for medically and psychologically suited patients to select home over center dialysis.

Suggested legislative language to address these problems is included on pages 58 and 59.

6 EXAMPLE A - AGENCY AGREEMENT

HEW agreed with GAO's recommendations and said proposed regulations on the "lowest charge level" provision of the 1972 amendments have been developed and are being reviewed within the Social Security Administration. In addition, the Bureau of Health Insurance is developing guidelines and instructions on laboratory service billings subject to the carriers' regular reasonable charge criteria. (See p. 16.) GAO believes these actions will meet the intent of the 1972 amendments.

6 EXAMPLE B - AGENCY DISAGREEMENT

The Energy Research and Development Administration does not agree with GAO's recommendation to eliminate the use of operating funds for construction activities. The agency believes its procedures and controls are satisfactory. (See p. 20.)

GAO disagrees with the policy of funding construction projects with operating funds and believes a formal reporting system must be developed so that the Congress is informed. (See p. 24.)

TABLE OF CONTENTS
REPORT MANUAL CHAPTER 9

GENERAL NOTES

As a general rule, our reports should not include an appendix listing the names of Federal agency officials and employees (5-9).

<u>Contents</u>

1 2 3 4 5

(Illustration continued on page I-11a)

ABBREVIATIONS

GAO	General Accounting Office
USPS	United States Postal Service 6

GLOSSARY

Dactylography	The study of fingerprints for purposes of identification. 7

*** General notes on page I-14 ***

INTRODUCTION

This report discusses the use of Federal funds provided
by three formula grant programs--general public health,author-
ized by section 314(d) of the Public Health Service Act (42 1
U.S.C. 246) and maternal and child health and crippled children's
services, authorized by title V of the Social Security Act
(42 U.S.C. 701). A previous GAO report discussed the plans to
change the method of distributing funds under title V of the 4
Social Security Act and the impact of the proposed change. 1/

The idea behind Federal formula grant programs (Federal
funds distributed to States based on a formula using population
and per capita income) is that State and local governments are 2
more aware of their needs than the Federal Government and should
be permitted to decide, within broad program categories, how to
spend Federal funds. In fiscal year 19--, Federal funds totalling
about $331 million were available to the States to support the
three programs.

Our review included those elements of the three formula 6
grant programs which appeared to need attention, rather than a
comprehensive review of the programs. Our objective was to find 5
out how States plan for and use formula grant funds, the extent
to which they are aware of constituents' health needs, and whether
or not they have established programs to meet these needs. We
also reviewed the extent of the Department of Health, Education,
and Welfare's assistance to and monitoring of State programs.

ROLE OF THE FEDERAL GOVERNMENT 3

The formula grant programs are managed jointly by the Department of Health, Education and Welfare (HEW) headquarters and regional offices. Headquarters responsibilities include establishing policy, issuing program regulations and guidelines, and distributing the funds. Policy and program guidelines are given to the regional offices and the States in manuals. HEW headquarters also evaluates programs and a percentage of each appropriation is available to cover this cost.

---

1 "Maternal and Child Health Programs Authorized by Title V, Social Security Act," HRD-76-90, June 23, 19--.

(Illustration continued on page I-15)

GENERAL NOTES

SCOPE OF REVIEW 12-4, 15-1

- o Scope information of the type discussed in items 5 thru 8 should be placed in a separate chapter near the end of the report unless it is very brief or it is needed to alert the reader to limitations on our work. Because the scope information should supplement--rather than repeat--information discussed elsewhere in the report, including it in the introductory chapter eliminates the need for a separate scope chapter later in the report.
- o Examples of scope statements are included in chapter 15 of the Report Manual.
- o When included in the introduction, "Scope of Review" side caption must be used. (RM 12-1)
- o When the subject matter or issues involved are likely to generate inquiries about the identities of persons or organizations, we should clearly state in the scope or introductory sections our reasons for not including the names in our report. (RM 5-12)
- o The scope section of our reports should state to what extent we reviewed the agencies' internal audit coverage of matters relevant to our audit. (RM 15-3)

LENGTH

- o If introductory information exceeds 3 or 4 pages, consider including some of it in an appendix. (RM 12-1)

SIDE CAPTIONS

- o If the chapter is long, it should be divided into a number of short sections, each with a side caption describing the topic discussed. (RM 12-1)

- o Do not use captions such as "Background" or "General Information."

FOOTNOTES AND REFERENCES

- o Illustrated in Operations Manual - Supplement for Secretaries and Typists (Chapter 18).

Grant program management has been decentralized by assigning HEW regional offices responsibility to

—provide advice on programs,

—conduct visits to review programs,

—do financial audits of the grants, and

—review and approve State plans required by the three grant programs.

ROLES OF THE STATES

States manage formula grant programs day-to-day, including monitoring program activities and evaluating results. Each state must send reports to HEW regional offices, on its program activities.

States must also prepare a plan for each program. Although Federal law and regulations specify areas which must be addressed in a State plan, the States are free to determine how the funds will be used within broad program categories. The States decide which health programs will receive grant support and the amount of support. The States also fully control how the funds will be used to provide community services.

SCOPE OF REVIEW

We interviewed State health department officials responsible for the plans in Indiana, Kentucky, and West Virginia. We reviewed HEW internal audit reports, regulations, grant files, and correspondence at HEW headquarters in Rockville, Maryland; and HEW regional offices in Philadelphia (region III); Atlanta (region IV); and Chicago (region V). 7

Our review in Kentucky, Indiana, and West Virginia covered fiscal years 19— to 19—. 8

FINDINGS CHAPTER
REPORT MANUAL CHAPTER 13

* * * (Continued on page I-18) * * *

NOTE: NONE OF THE MATERIAL APPEARING BELOW IS ACTUALLY CLASSIFIED. THIS SAMPLE PAGE IS SO MARKED FOR ILLUSTRATIVE PURPOSES ONLY.

8 **CONFIDENTIAL**

The blocked material is classified as indicated. All other material on this page is UNCLASSIFIED.

1

CHAPTER 2

BUREAU EDUCATION PROGRAMS--

ARE THEY CLOSING THE EDUCATION GAP?

Little progress has been made by the Bureau of Indian Affairs to close the education gap between Indians and other Americans by 19--. The Bureau's education programs are not designed to achieve this goal and its information system does not provide the data necessary to effectively manage the program. The Bureau should identify educational needs and develop an information system that provides necessary data. 2

NEED TO CLOSE THE EDUCATION GAP 3

In recent years both the President and the Congress have discussed continuing problems with Indian education. Senate Report 91-501, entitled "Indian Education: A National Tragedy--A National Challenge", recommended that the Federal Government set goals for giving equal educational opportunity for Indian children, including the achievement of parity between Indian high schools and national norms. The report pointed out that Indians graduating from Indian high schools generally had the equivalent of a ninth-grade education. This compares to the national average of an 11th grade education. 4

The major goal set for the Bureau of Indian Affairs' education program was to close the education gap between Indians and other Americans by raising the academic achievement level of Indian students within 10 years to the national average. 5

However, little progress has been made toward achieving the goal. Although about $500 million was spent by the Bureau during the first 5 years of the program to educate some 50,000 Indian children, the Bureau estimated that Indians graduating from Bureau high schools still had only about a ninth-grade education as measured by standardized academic-achievement tests. (CONFIDENTIAL) 6 9

The Bureau's education programs were not designed to reach the goal. Offícals at five of 12 schools and at one of three area offices visited told us they were not aware of the goal. Officials at the remaining schools and area offices said that they had not designed their programs to reach this goal and had not received guidelines or instructions to do it from the Bureau. 7

The Bureau does not have a management information system to give education program officials data necessary to identify educational needs of Indian children, design programs and activities to accomplish educational goals, allocate resources to these programs, and evaluate the costs and benefits in relation to the educational goals.

CONFIDENTIAL 8

- Each finding section or chapter should have a clear statement of our final position. (RM 13-9)
- Must be reasonable and logical.
- A side caption may be used, but it is not mandatory.
- No opinion should be expressed on specific issues to be resolved by the courts without prior approval by the Comptroller General. (RM 5-17)

- Include if our work indicates action is needed.
- Do not include if the agency has completed the desired action. (RM 14-18)
- Avoid recommendations to (1) make a study, (2) continue to do something, unless the report shows that it is being discontinued, and (3) consider doing something if the evidence supports a recommendation for corrective action.
- Must follow logically from the information provided in the report.
- Should always be directed to an official--not the agency. In reports to the Congress, committees, or members they are addressed to agency heads. (RM 14-2, 14-16)
- Should closely follow the finding to which it relates, rather than in a separate chapter. (RM 14-17)
- Use "we recommend that, etc.," (RM 14-16)
- Side caption required.
- Consider recommending termination of programs rather than administrative improvements if the program is not meeting its intended objectives. (RM 14-10)

- Recommendations are preferred over "matters for consideration." Be as specific and direct as possible. If we believe the Congress should do something we should recommend action rather than consideration.
- Recommendations to change existing or establish new legislation should be coordinated with the Office of the General Counsel. (RM 14-11, 12 and 13)
- When congressional policy is involved, we should avoid the appearance of usurping congressional prerogatives. In such cases, the matter should be discussed with the Comptroller General before the report is sent out for advance comment. (RM 14-4)
- Specific legislative language should be included when we are recommending changes in laws. For guidance on this and other recommendations requiring special consideration see pages 14-8 thru 14-14 of the Report Manual.
- Recommendations that may be inconsistent with the Privacy Act should be coordinated with the Logistics and Communications Division. (RM 14-13)

*** Continued on page I-19a ***

CONCLUSIONS 10

Because educational needs have not been identified, the Bureau's programs will not raise the academic achievement level of Indians to the national average within 10 years. Program officials do not have data necessary to identify educational needs and design new programs to meet the established goal.

RECOMMENDATIONS 11

We recommend that the Secretary of Interior require the Commissioner of Indian Affairs to:

--Apprise all operating levels of the educational program goals.

--Develop a management information system to provide:

1. Useful information on the academic aptitude and achievement levels of students in the Bureau school system.
2. Program-oriented financial management reports geared toward the management needs of Bureau education program officials.

RECOMMENDATION TO THE CONGRESS 12

We recommend that the Congress enact legislation authorizing the Bureau to collect the information discussed in this report. This information can be used to evaluate the progress being made in improving Indian education. Suggested legislative language is in Appendix II.

AGENCY COMMENTS AND OUR EVALUATION 13

The Department of the Interior said it agreed with the findings and that our conclusions and recommendations would constructively support Bureau attempts to improve its education program. (App. I.)

According to the Department, from 5 to 10 years would be required to prove increased effectiveness through student test results. The Department noted we did not recognize departmental and congressional commitments and progress to improve education opportunity for the American Indian.

We agree that it would have been desirable to obtain student academic achievement data covering several years. Such data was not available, however, and, by necessity, our evaluation of progress achieved by the Bureau was limited to available data.

- The report should fairly present the agency's comments on our conclusions and recommendations.
- Our presentation of the findings should reflect comments on the findings and any general comments.
- Comments which oppose our findings and conclusions must be rebutted. (RM 6-11)
- When comments are received from other than the head of an agency, they should be attributed to the agency rather than to the official who provided them. **For example, we should** say "The Department of Labor said * * *" rather than "The Assistant Secretary for Administration said * * *." (RM 6-8)

GENERAL NOTES

PRESENTING FINDINGS AND RECOMMENDATIONS

- The preferred report format is a series of chapters, each presenting an individual finding or group of related findings with information pertaining to that finding, i.e., conclusions, recommendations, agency comments, etc. **Separate chapters with our conclusions and recommend**ations and the agency comments should be avoided in reports with multiple findings. **(RM 13-7 and 14-17.)**

NOTES

1 FORMAT

- Use "APPENDIX" for bound reports.
- Use "ENCLOSURE" for unbound reports.
- Locate heading on right and left margins.
- Use Roman numerals.

2 HANDLING PAGE REFERENCES IN AGENCY RESPONSE (ILLUSTRATED)

- If practical the page numbers shown should be changed to agree with those in the final report. (RM 6-12)

GENERAL NOTES

- Other items which may be included are
  --copies of congressional requests (See also RM 15-2)
  --lists of earlier GAO reports on the same or a related subject (See also RM 12-4.)
- Comments will not be "whited out" and deleted from the agency's response if they result in material being dropped from the final report. Also, all material changes resulting from the comments will be explained either in the body, footnotes to the comments, or an appendix to the report. (RM 6-12)
- The job assignment code will be placed in parentheses in the lower left corner of the last printed page of bound reports and in the lower right of the first page in unbound letter reports. (RM 19-5)

United States Department of the Interior

OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20240

JUL 1979

Mr. J. Dexter Peach
Director, Energy and Minerals Division
U.S. General Accounting Office
Washington, D.C. 20548

Dear Mr. Peach:

We appreciate the opportunity to review the GAO draft report entitled, "Aluminum in Oil Shale: Obstacles to Multiple Mineral Development on Public Lands" (EMD, Released 5/4/79). 2

While we agree in principle with the recommendation made on page 20 * we take issue with the conclusion reached on page 16, that "the Department of the Interior has formulated oil shale disposition policy which jeopardizes future development of sodium/aluminum-rich oil shale." This conclusion is drawn from statements made on page 10 -- that the Department was criticized for not including a sodium/aluminum-rich oil shale tract in the prototype program and in response stated in the environmental impact statement ". . . the importance of such mineral products to overall economic viability is uncertain at this time." The report continues: "This statement disregards the fact that a primary purpose of the program was to allow private industry to settle some of the uncertainties facing commercial shale oil development."

The prototype program was designed to determine the economic and environmental viability of oil shale production. In announcing the decision in November 1973 to implement the oil shale prototype program, the Secretary of the Interior listed four program goals:

1. To provide a new source of energy to the Nation by stimulating the development of commercial oil shale technology by private industry;

2. To insure the environmental integrity of the affected areas and at the same time develop a full range of environmental safeguards and restoration techniques that will be incorporated into the planning of a mature oil shale industry, should one develop;

3. To permit an equitable return to all parties in the development of this public resource; and

* Page numbers have been changed to correspond to the final report.

BASIC TRANSMITTAL LETTER
CONGRESSIONAL REQUEST
REPORT MANUAL CHAPTER 10

PAGE

1 B-NUMBER 19-4
- Obtain from Index and Files, OGC, before final processing.

2 ADDRESSEE, SALUTATION AND COMPLIMENTARY CLOSE. 10-1
- Address letter to requester.
- Reports addressed to two or more requesters require a basic letter for each and a joint letter for report copies. (RM 10-3)
- For letter address, salutation and complimentary close see Operations Manual - Supplement for Secretaries and Typists (Chap. 8). For joint letters, call Editorial Services for assistance.

3 OPENING STATEMENT 10-2
- Briefly introduce the subject matter of the report.
- Include general reference to the request or inquiry. (RM 10-4)

4 RESTRICTIONS 10-4
- State important restrictions on the use of the report information.

5 LIMITATIONS ON ADVANCE REVIEW AND COMMENT 10-4
- If requested not to get written or oral advance comments, state this as the reason for not following our usual policy. CAUTION: Do not use the expression "As agreed with you (or your office)..." (RM 6-3)

6 DISTRIBUTION NOTICE 10-5
- Refer to specific agreement with requester on distribution of report to others outside the Office. (Ch. 15, CAM)
- The Office of Congressional Relations should be consulted before agreement is made with requester that further distribution will be delayed beyond 30 days. (RM 10-7, 20-1)
- Restricted reports with recommendations to the head of a Federal agency should not be distributed in advance of the established date for unrestricted distribution unless approved by the requester or there has been public release of the report's contents by the requester. (RM 10-6 and Ch. 15, CAM)

7 SIGNERS OF CONGRESSIONAL REQUEST REPORTS 5-5
- The Comptroller General will sign all reports including those to committees and individual members when the subject matter or issues involved warrant the added weight of his signature. The Office of Congressional Relations should be consulted when the division director determines that he and not the Comptroller General should sign a report to a committee or individual member of Congress.

*** General notes on page I-23a ***

COMPTROLLER GENERAL OF THE UNITED STATES
WASHINGTON, D.C. 20548

B-123456 1

2

The Honorable John Doe
Chairman, Committee on Armed Services
United States Senate

Dear Mr. Chairman:

As requested in your June 24, 19--, letter, this report discusses the defects in the R-99 aircraft, including those in the aircraft's elevator. It also shows the estimated cost to correct these defects. 3

Litigation has started alleging that Zero Co. is liable for damages leading to the R-99 crash near Camden, New Jersey. 4 Claims have been filed against the United States Government, and the Government may also be involved in litigation in the near future. This report contains information which may be prejudicial to the interests of both Zero Co. and the Government.

At your request, we did not obtain agency comments. 5 As arranged with your office, unless you announce its contents earlier, we plan to distribute this report to coincide with the release of its contents during the Air Force budget hearings. Should the hearings be postponed, however, we will send copies to interested parties and make others 6 available upon request 30 days from the date of the report.

Sincerely, yours,

7

Comptroller General
of the United States

GENERAL NOTES

- Do not refer to discussions with congressional staff members. Use such wording as "Our representatives were informed that you..." or "In accordance with discussions with your office..." (RM 15-2)
- Our audit authority should not be cited. (RM 10-4)
- Reference to the provisions of Section 236 should not be made, but should be included in non-basic letters to the officials to whom recommendations are addressed.

NOTES

BASIC TRANSMITTAL LETTER
AGENCY OFFICIALS
REPORT MANUAL CHAPTER 10

		PAGE
1	B-NUMBER	19-4
	o Obtain from Index and Files, OGC, before final processing.	
2	ADDRESSEE, SALUTATION AND COMPLIMENTARY CLOSE	10-1
	o The address will carry the name of the official and his or her title. o Reports addressed to two or more officials require a basic letter to each official and a joint letter for report copies. o For letter address, salutation and complimentary close see Operations Manual - Supplement for Secretaries and Typists (Chap. 8).	
3	OPENING STATEMENT	10-2
	o Briefly introduce the subject matter of the report.	
4	WHY THE REVIEW WAS MADE	10-3
	o The essential reason or reasons for making the review. o Generally, this information should not be repeated elsewhere in the report. o Our audit authority should not be cited except to meet some special purpose. (RM 10-4)	
5	RESTRICTIONS	10-4
	o State restrictions on the use of the report.	
6	PROVISIONS OF SECTION 236	10-5
	o Use only when the report includes recommendations to the head of a Federal agency.	
7	DISTRIBUTION NOTICE	10-5
	o Advise recipient of our plans for distributing copies of the report to subordinate agency officials, officials of other agencies, or congressional committees or members.	
8	SIGNERS	5-5
	o Prepared for the Comptroller General's signature when the subject or issues warrant it. o Directors sign: --reports addressed to the heads of departments and independent agencies --reports to lower level agency officials if distribution to members of Congress is anticipated. o See page 5-6 of the Report Manual for signers of reports addressed to officials below the Secretary or comparable level.	

UNITED STATES GENERAL ACCOUNTING OFFICE
WASHINGTON, D.C. 20548

LOGISTICS AND COMMUNICATIONS DIVISION

B-123456 1

2

The Honorable Harold Brown
The Secretary of Defense

Dear Mr. Secretary:

This report discusses the Department's transportation data systems and suggests ways to reduce duplicate systems. 3

This review was made because, while working at various military installations, we noted many computer facilities were processing the same standard supply and transportation documents for the same shipments. 4

We discussed the report with Department officials and have incorporated their comments. They said the data included as appendix II is subject to verification by the individual Services and should be used with this qualification. 5

This report contains recommendations to you on page 11. As you know, section 236 of the Legislative Reorganization Act of 1970 requires the head of a Federal agency to submit a written statement on actions taken on our recommendations to the House Committee on Government Operations and the Senate Committee on Governmental Affairs not later than 60 days after the date of the report and to the House and Senate Committees on Appropriations with the agency's first request for appropriations made more than 60 days after the date of the report. 6

We are sending copies of this report to the Director, Office of Management and Budget; the Chairmen, House Committee on Government Operations, Senate Committee on Governmental Affairs, the House and Senate Committees on Appropriations, and Armed Services; the Secretaries of the Army, Navy, and Air Force; and the Director, Defense Supply Agency. 7

Sincerely yours,

8

Director

1 PHOTOGRAPHS

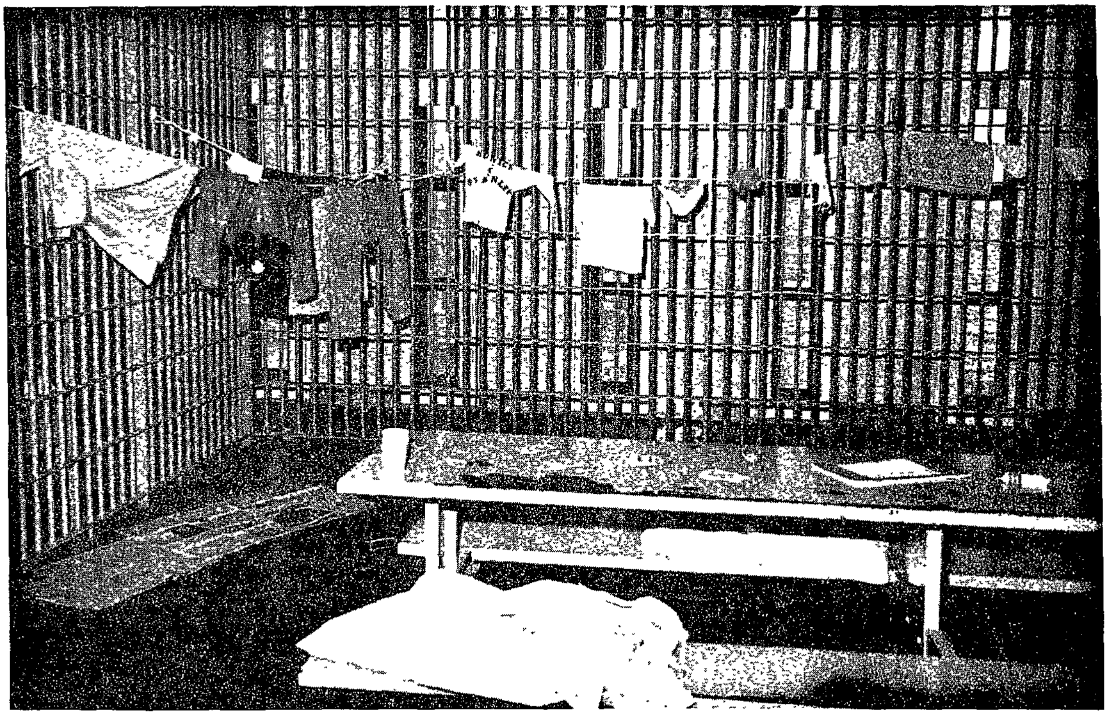
- Use to emphasize a point or to illustrate a product being discussed. (RM 17-2)
- Do not use photographs which might adversely affect or tend to single out for praise persons or non-Federal organizations without discussing the circumstances first with the Office of Policy. (RM 17-4)
- Whenever possible, use black and white 8" x 10" glossy prints with good contrast for best results. (RM 17-5)
- Always use a caption. Phrases such as "view of" or "picture of" should not be used. (RM 17-5)
- Name the source in the text or in the credit lines. (RM 17-3)
- Do not write on photograph. Tape the information needed on the back. (RM 17-3)
- Provide an index of size when possible, such as a ruler, person, etc. (RM 17-5)
- The Procurement Branch, OAS has cameras available for staff use. (RM 17-2)

2 CHARTS, GRAPHS, MAPS

- General visual aids (particularly maps) should be placed in the opening pages of reports. (RM 17-4)
- Look for opportunities where visual aids will make the report clearer and more concise. The material should be easy to read and understand without long explanations.
- Color printing should not be planned for our reports, except in very unusual circumstances. (6-8 weeks must be allowed to have color material printed.) (RM 17-3)

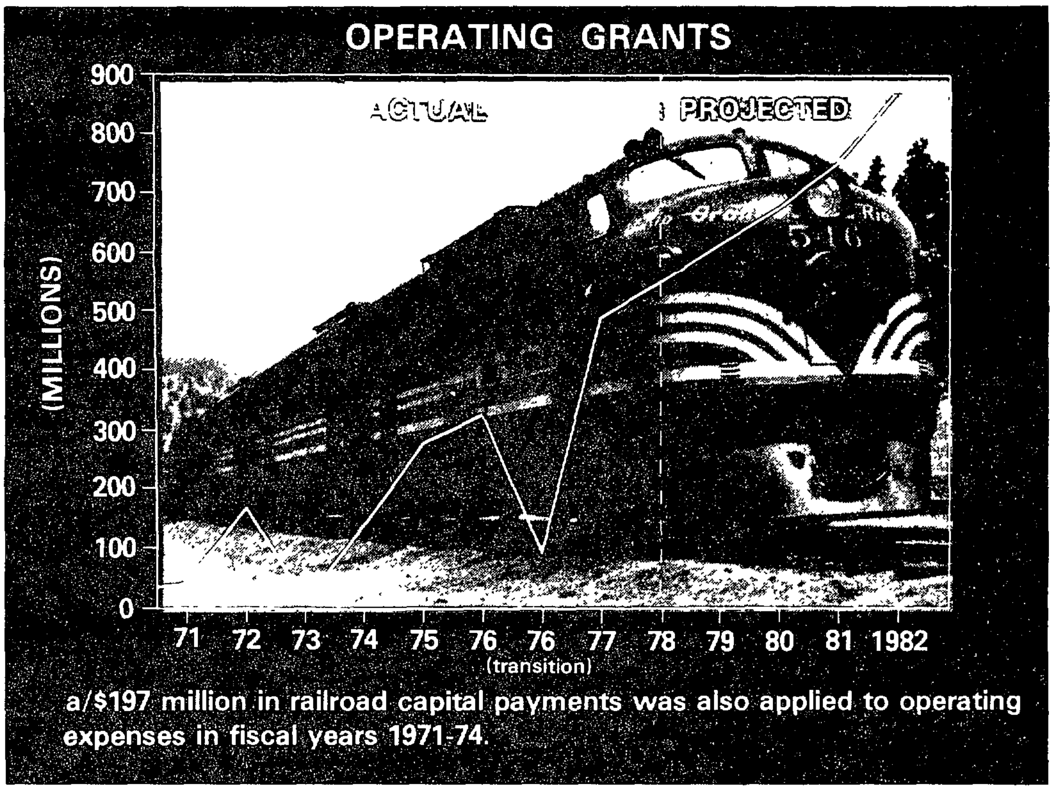
GENERAL NOTES

- Place visual aids close to where the subject is discussed. (RM 17-4)
- Certain specific requirements have to be met before visual aids can be used in a report. (RM 17-1)
- If you need help contact the Graphics Section. Request for illustrating should be submitted on GAO Form 317 at least 10 work days before the report is expected to be printed. (RM 19-3)
- See page 17-4 of the Report Manual for other suggestions.
- Guidance on preparing tables or financial schedules can be found in the Operations Manual - Supplement for Secretaries and Typists (Chapter 18).



Photograph courtesy of Norfolk Prison

CONDITIONS IN NORFOLK PRISON SECTION FOR WOMEN



PART II

REPORT PROCESSING
REPORT MANUAL CHAPTER 19

This part highlights operating division responsibilities in processing reports and illustrates the following items:

PAGE

REPORT PROCESSING STEPS

STEP 1 - DIVISION PROCESSING

- o Prepare Master Report Folder consisting of one or more red expansion folders with identification label (GAO Form 279) affixed to the back, upper right corner of each folder. (RM 19-1) The folder should contain:
  - —Referenced draft and all referenced changes. Comments by the referencers and reviewers annotated to show their disposition.
  - —Copy of draft approved for external release for advance review and comment.
  - —Copies of drafts reviewed by internal report reviewers, and drafts revised after considering the reviewer's comments.
  - —Digest and cover sheet proposed by the Information Officer. (RM 19-2)
  - —Originals of pertinent congressional requests and agency comments. (If they are to be reproduced in the report they should be included in the signature package discussed below.)
  - —Pertinent contact memorandums and other correspondence (legible copies).
  - —A portfolio containing copies of the material included in the signature package.

- o Include in the signature package the following items (originals except as noted):
  - —GAO Form 115. This form is illustrated on p. II-8.
  - —Comptroller General's explanatory memorandum and time breakdown attachment. This memorandum is illustrated on p. II-6.
  - —Advance copy of the report.
  - —Basic and nonbasic transmittal letters.
  - —Congressional request letters and agency comments to be reproduced in the report.
  - —Visual aids.
  - —Other pertinent material (legible copies) such as contact memorandums.

NOTES:
1. Attach Action Routing Slip (GAO Form 319) to the portfolio. Specific routing instructions can be found on Report Manual pages 19-9 and 19-10.
2. Divisions are responsible for insuring that all director-signed reports are processed through the Distribution Section so they will be picked up on the various information systems.

- Although not a part of the Master Report Folder, the following items for the OP and OGC report review packages should be assembled at this time. Must be legible copies or will be returned. (RM 19-7):
  - —GAO Form 115.
  - —Comptroller General's explanatory memorandum with resource and time-frame information attached. (RM 19-10 and 12)
  - —Congressional request letters, if not included in the report.
  - —Pertinent congressional contact memorandums.
  - —Comments on draft by adversely affected parties.

  NOTES: 1. Provide a complete set of written agency comments annotated to show how and where they are handled in the final draft.

  2. For oral comments, include adversely affected parties' written concurrence on report treatment or GAO's written summary of the comments confirmed by them and annotated as to GAO's disposition of the comments. (RM 6-7)

  - —Other pertinent information which will facilitate the review, e.g. Office Memorandums or GAO's congressional testimony. (See also RM 19-8.)

STEP 2 - REQUESTING OP AND OGC REVIEW

- Make two copies of the final, edited draft report, as approved by division director, and basic transmittal letter(s) and insert one legible (clean copy if available) copy into each of the OP and OGC report review packages prepared in Step 1 above.
- Prepare two GAO Form 117s (one for OP and one for OGC). This form is discussed on p. II-14.
- After getting the division directors approval send the report review packages completed in Step 1 above to OP and OGC using the appropriate GAO Form 117.

  NOTES: 1. OP and OGC reviews are required for all reports to be signed by the Comptroller General. These reviews may be requested for other reports. (RM 19-6)

  2. Seven work days should be allowed for OP and OGC review and at least two working days for review by the Deputy Comptroller General and the Comptroller General.

3. Division representatives are responsible for seeing that changes made based on the OP and OGC reviews are reflected in the final report.
4. Reviewing offices should be notified of changes made to the version of the report which they have recommended be signed. (RM 19-8)

STEP 3 - FINAL PREPARATION AND PRINTING

- A camera copy consisting of final typed pages, pictures, graphs, agency comments, etc. should be taken, together with GAO Form 116 (Discussed on p. II-12.), to the Copy Preparation Section for a quality check of the material to be printed. (RM 19-13)

- After the report is signed by the Comptroller General, the division returns the camera copy to the Lithographic Section for printing and assembling.

  NOTE: The division will review a complete printed report before it is sent to distribution.

- Distribution is made in accordance with the instructions on GAO Form 115.

NOTES

- See "Operations Manual - Supplement for Secretaries and Typists" (Chapter 8)

- Must be meaningful (more than simply transmitting a copy of the report).
- Tell the agency head about any inordinate delays in receiving agency comments. (RM 10-8)

- Used only when report contains recommendations to the head of a Federal agency.
- Nonbasic letter to agency should include language shown in the example.
- Unless there is a special message in addition to the Section 236 notice, GAO Form 371 (See p. II-10) should be used to send copies of our reports to the House Committee on Government Operations, Senate Committee on Governmental Affairs, and the House and Senate Committees on Appropriations. Form 371 can also be used to send copies of the report to the Director, Office of Management and Budget. If a nonbasic letter is used, the first sentence of the Section 236 statement illustrated should be revised to read "This report contains recommendations to the Secretary of * * * on page ."

- Agency heads and Governors should be told of distribution to subordinate officials.
- A letter should not be prepared for the sole purpose of notifying a Federal official of such distribution.

- As a rule, the letters are signed by the official who signs the report.
- Letters addressed to the President of the United States and Governors are for the Comptroller General's signature.

GENERAL NOTES

Nonbasic transmittal letters are used to send copies of reports to recipients other than the report addressee for whom we have a special message. Regardless of whether there is a special message, they are also used to send copies to the following recipients:

—Officers of the Congress
—The President
—State Governors and top officials of non-Federal organizations directly affected by the report. (RM 10-7)

COMPTROLLER GENERAL OF THE UNITED STATES
WASHINGTON, D.C. 20548

B-123456

1

The Honorable Patricia R. Harris
The Secretary of Housing and
Urban Development

Dear Madam Secretary:

The enclosed report questions rental increases at two subsidized housing projects in Pennsylvania.

We are recommending that the Congress revise the legislation for these projects. 2

This report also contains recommendations to you on page 9. As you know, section 236 of the Legislative Reorganization Act of 1970 requires the head of a Federal agency to submit a written statement on actions taken on our recommendations to the House Committee on Government Operations and the Senate Committee on Governmental Affairs not later than 60 days after the date of the report and to the House and Senate Committees on Appropriations with the agency's first request for appropriations made more than 60 days after the date of the report. 3

We are sending copies of this report to your Assistant Secretary for Housing Management and to your Inspector General. 4

Sincerely yours, 1

Comptroller General
of the United States 5

Enclosures - 2

EXPLANATORY MEMORANDUM

- o Disclose any special congressional interest or sensitivity.
- o Indicate possible requests for GAO testimony.
- o Unless otherwise obvious, cite the specific reason(s) why the report is being sent to the Congress.

- o Refer to previous or succeeding reports coming out of the same assignment or dealing with the same subject.

- o Information which may interest the Comptroller General

- o Statement on coordination which has taken place with other GAO divisions and offices. If coordination was not considered necessary, or if coordination resulted in no unresolved issues, state this. If there are unresolved issues, give enough detail to help others understand areas of difference, the rationale for opposing views and the steps taken to resolve the differences. Also, attach the reviewing division's or office's comments to the explanatory memorandum.

OTHER IMPORTANT INFORMATION (NOT INCLUDED IN EXAMPLE)

- o Sensitive or potentially controversial issues (RM 5-15)
  - —Matters involving congressional policy
  - —Disclosure of contractor's business information covered by 18 U.S.C. 1905
  - —Referrals to the Department of Justice
  - —Pending or ongoing litigation (RM 5-17 through 5-19).
- o Problems getting agency cooperation; access-to-records problems; delays in obtaining advance comments, etc.
- o Findings which may apply internally
- o Problems on congressional request assignments including
  - —Disagreements on the scope
  - —Method of reporting, staffing, etc.
- o An explanation should be added if the agreed reporting date will not be met on priority I congressional request assignments.
- o When report has not been fully referenced, describe what alternative quality assurance procedures were used.

GENERAL NOTES

- o Explanatory memorandum required on all reports signed by the Comptroller General if 50 or more staff-days were spent on the assignment or where there are important matters to bring to his attention.
- o If less than 50 staff-days and there are no sensitive or controversial issues, the GAO Form 117 should state (1) that no explanatory memorandum was required and (2) any coordination which has taken place within the office (see item 4 above).

UNITED STATES GOVERNMENT **GENERAL ACCOUNTING OFFICE**

Memorandum

TO : Comptroller General

FROM : Director, CED - Henry Eschwege

SUBJECT: RED 79-12: Transmittal of Report for Signature
Department of Agriculture

We are furnishing for your signature a report to the Congress, on "Student Participation in the Food Stamp Program at Six Selected Universities." A prior report "Observations on the Food Stamp Program" (RED 75-342, February 28, 1975) dealt with the lack of management data on groups of program participants, including college students. 2
The food stamp program is administered by the Food and Nutrition Service, Department of Agriculture.

The Service is compiling data from a one-time sample of 10,000 food stamp households for September 1975. These sample results, 3
dealing in part with college students participation, will be released, according to the Service, about a month from now.

We recommend the Department and the Service routinely obtain from States and counties data to determine the size and composition of various segments of the program's target population and its participants. Hearings before the Committee on food stamp reform 1
are expected to continue at least through April or May. There is no indication we will be asked to testify on our report, but a request to testify is possible.

The House Agriculture Committee staff conducted its own analysis of food stamp participation based on State quality control data for April 1975. The results of the staff study on college student participation are similar to our results.

We have coordinated the report with HRD, FGMSD, and EMD, and there 4
were no major issues raised.

Attachment

5

GAO FORM 115
APPROVAL FOR DISTRIBUTION OF REPORT

REPORT MANUAL DISCUSSION . . . . Chapter 20
(See Comprehensive Audit Memorandum No. 2 for detailed instructions)

(1) BASIC TRANSMITTAL LETTER
The official(s) to whom the report is addressed. For a report to the Congress, check the Speaker of the House and the President of the Senate.

(2) NONBASIC TRANSMITTAL LETTER (See page II-4)

(3) TRANSMITTAL SLIP (Facsimile on p. II-10)
- Used to send copies to the House and Senate Committees on Appropriations, the House Committee on Government Oprations, the Senate Committee on Governmental Affairs and their subcommittees and to the Director, Office of Management and Budget
- Used when the following conditions are met:
  - --Distribution is unrestricted or the restriction on distribution has been lifted by the requester or he has publicly released the reports' contents.
  - --The report has recommendations to an agency head.
  - --A tailored nonbasic letter is not being used to send copies of the report.

NOTE: The divisions should provide special instructions on the Form 115 for the Document Distribution Section when a Form 371 will be used to send a restricted report which has been released for distribution to the committees and OMB. Distribution should be instructed to stamp the Form 371 transmittal with the date the report was released to the agency.
(CAM 2 p. 17-18)

(4) NO TRANSMITTAL DOCUMENT
All other recipients.

(5) Total number of copies to be distributed to other recipients as identified on GAO Form 115-1 (Continuation Sheet).

(6) Used to send copies of unrestricted reports to the ranking minority members of those committees and subcommittees who are to get copies of the report (divisions do not fill in the quantity).

* * * (Continued on page II-10) * * *

NOTE: This is only an example. Each GAO Form 115 must be adapted to the individual report using Comprehensive Audit Memorandum No. 2 guidance.

GAO Form 115 (REV. 10-78)
(Destroy previous editions)

(CAM NO. 2)

U.S. GENERAL ACCOUNTING OFFICE

No. 1 of 1

APPROVAL FOR DISTRIBUTION OF REPORT

TITLE OF REPORT *(and Requester on Congressional Assignments)*

Lack of Authority Hampers Efforts to Ensure Cosmetic Safety

REPORT NUMBER	B-NUMBER	ASSIGNMENT CODE	DATE ISSUED
HRD-78-139	B-164031 (2)	10859	

THE ACCOMPANYING LETTERS ARE FOR SIGNATURE BY:

☒ THE COMPTROLLER GENERAL ☐ DIRECTOR, ______

CHECK ONE

☒ UNRESTRICTED
☐ RESTRICTED
☐ CLASSIFIED ______

SPECIAL INSTRUCTIONS:

This restricted report will be available for general distribution.

☐ ____days after issuance
☐ When notified by OCR

If this distribution is to be made after issuance to basic addressee(s):

☐ Distribute ____days after issuance
☐ Distribute when notified by OCR

OCR Approval

(1) (2) (3) (4)

INITIAL EXTERNAL DISTRIBUTION		TRANSMITTAL DOCUMENT *(Check One)*			
NO. OF COPIES	RECIPIENT	BASIC LETTER	NON-BASIC LETTER	*GAO FORM 371*	NONE
3	SPEAKER OF THE HOUSE	X			
1	PRESIDENT OF THE SENATE	X			
2	HOUSE COMMITTEE ON APPROPRIATIONS			X	
3	HOUSE COMMITTEE ON GOVERNMENT OPERATIONS			X	
1	HOUSE COMM. ON Interstate and Foreign Commerce (Legislative Committee)				X
1	HOUSE COMMITTEE ON THE BUDGET				X
1	SENATE COMMITTEE ON APPROPRIATIONS ATTN: Tom Allison			X	
1	SENATE SUBCOMM. ON Agriculture (Appropriations Subcommittee)			X	
1	SENATE COMMITTEE ON GOVERNMENTAL AFFAIRS			X	
1	PERMANENT SUBCOMMITTEE ON INVESTIGATIONS SENATE COMMITTEE ON GOVERNMENTAL AFFAIRS			X	
1	SENATE COMM. ON Human Resources (Legislative Committee)				X
1	SENATE COMMITTEE ON THE BUDGET				X
(6)	RANKING MINORITY MEMBERS OF COMMITTEES & SUBCOMMITTEES				
3	DIRECTOR, OFFICE OF MANAGEMENT AND BUDGET				X
1	Congressman L. H. Fountain				X
3	Secretary of Health, Education, and Welfare		X		
3	Commissioner of Food and Drug Administration				X
10	House Interstate and Foreign Commerce Committee				
	Subcommittee on Oversight and Investigations,				
	ATTN: Elliot Segal				
101	OTHER RECIPIENTS *(Per GAO Form 115-1 attached)*				

(Over)

(5)

GAO FORM 115 (CONTINUED)

7. Quantity obtained from the Information Officer by the division at the time of the Information Officer's review of a report's title, cover summary, and digest.

8. Quantity based on information furnished by the division.

9. Must be signed by the Division Director or the acting director.

10. Continuation Sheet (GAO Form 115-1).

11. Total the number of copies on Form 115-1 and record on Form 115 in block labeled "OTHER RECIPIENTS."

GENERAL NOTES

- When delivery to any recipient is to be expedited, the form should be marked "Hand Carry to Addressee."
- Provide room numbers, street address, etc. for all recipients added to GAO Forms 115 and 115-1.

FACSIMILE

TRANSMITTAL SLIP (GAO FORM 371)

The accompanying General Accounting Office report contains recommendations to the head of an agency. Under the provisions of Section 236 of the Legislative Reorganization Act of 1970 the agency is required to submit a statement to the Senate and House Committees on Appropriations, the Senate Committee on Governmental Affairs, and the House Committee on Government Operations advising the Committees of the action taken with respect to the recommendations.

GAO-371 (REV. MAY 1977)

10

APPROVAL FOR RELEA
(CONTINUATION SHEET)
GAO FORM 115-1 (Rev. 10-7
(Destroy previous editions)
TITLE OF REPORT (and Re
Lack

REPORT NUMBER
HRD-78-139

NO. OF COPIES
1 Se
1 D

NO. OF COPIES	INITIAL INTERNAL DISTRIBUTION
1	COMPTROLLER GENERAL - RM. 7000
1	ASSISTANT TO THE COMPTROLLER GENERAL, POLICY AND PROGRAM PLANNING - RM. 7124
5	OFFICE OF CONGRESSIONAL RELATIONS - RM. 7023
3	DIRECTOR OF ORIGINATING DIVISION OR OFFICE G. J. Ahart RM. 6864
12	COGNIZANT DEPUTY DIRECTOR, ______ - RM. ______
5	COGNIZANT ASSOCIATE DIRECTOR, E. A. Densmore - RM. 6858
10	COGNIZANT ASSISTANT DIRECTOR, A. B. Jojokian - RM. 120, Park Bldg.
10	INFORMATION OFFICER - RM. 7015
	______ TO EACH PARTICIPATING REGIONAL AND BRANCH OFFICE
75	FDA Audit Site
25	DOD-CSC Audit Site

11

CODES

BUDGET FUNCTIONS	ORGANIZATIONS	ISSUE AREAS/LINES OF EFFORT
0553 (Primary)	DHEW (Primary)	0909 (Primary)

DETERMINATION OF QUANTITY TO BE PREPARED		QUANTITY
INITIAL DISTRIBUTION	EXTERNAL DISTRIBUTION	146
	INTERNAL DISTRIBUTION	123
	TOTAL INITIAL DISTRIBUTION	269
SUBSEQUENT DISTRIBUTION AND RESERVE STOCK	RECURRING SUBSEQUENT DISTRIBUTION DIVISION IS TO CHECK APPLICABLE BOX(ES): ☒ ALL ☒ SELECTED SUBJECTS ☐ NONE	130
	RESERVE STOCK	200
	PROVISION FOR DISTRIBUTION TO THE NEWS MEDIA BY MAIL E BY HAND E	125
	PROVISION FOR ADDITIONAL QUANTITIES, IF NECESSARY	0
	TOTAL SUBSEQUENT DISTRIBUTION AND RESERVE STOCK	455
TOTAL QUANTITY TO BE PREPARED		725

8

7

APPROVED

Signed (Associate Director or Comparable Official) 7/16/78 (Date)

Signed (Director) 7/16/78 (Date)

FOR FURTHER INFORMATION CONTACT:

Mr. Jojokian or Linz (Name)

443-2040 (Phone Number)

9

GAO FORM 116

1 REQUISITION NUMBER

2 REPORT CONTROL NUMBER

- o Sequential control number for reports. The number is assigned by the division or office.

3 COVER COLOR

- o Check the appropriate block.
- o For staff studies check the block marked "Other" and insert "Blue Green".
- o Classified reports—check Gray and type "with red border".
- o Check "Gray" for restricted reports with proprietary or other sensitive material.

4 INTRADIVISIONAL PROCESSING SERVICES

- o List the specific services requested.
- o Identify any factors which should be considered by the writer/editor staff.

5 PRINTING AND DISTRIBUTION SERVICES

- o The designee will normally be the writer/editor handling the final processing for the Director.
- o Indicate whether there are any unusual procedures to be followed in printing or distributing the final product.

GENERAL NOTES

- o This form is used internally by the divisions. It is also used to request printing and distribution of reports and staff studies.

1

2

GAO FORM 116 (REV. 5-79)
(Use previous edition until supply exhausted)

U.S. GENERAL ACCOUNTING OFFICE

REQUEST FOR REPORT PROCESSING SERVICES

JOB CODE	REQUISITION NUMBER	B. NUMBER
711711	GGD ---- 79 ---- 686 (DIVISION / FISCAL YR. / CONTROL NO.)	123456

TITLE
Welfare Payments Reduced: An Improved Method for Detecting Erroneous Welfare Payments

3

REPORT COVER: [X] YES [ ] NO
COVER COLOR: [X] BLUE [ ] GRAY [ ] OTHER ______ (Specify)

REQUEST FOR INTRADIVISION PROCESSING SERVICES

SPECIFY SERVICES REQUESTED	SIGNATURE	DATE
Editing and typing	J. Dandy	10/12/79

For Priority Services Only	REQUESTED COMPLETION DATE	SIGNATURE

INSTRUCTIONS AND INFORMATION FOR WRITER/EDITOR STAFF:
Charts and graphs are being prepared by the Graphics Services Section.

FOR FURTHER INFO. CONTACT	PHONE	ROOM
J. Dandy	375-8765	201

REQUEST FOR PRINTING AND DISTRIBUTION SERVICES

	SIGNATURE (DIVISION DIRECTOR OR DESIGNEE)	DATE
PRINT QUALITY CHECK	Ms. Hardtask Ms. Hardtask	11/13/79
FINAL PRINTING	Ms. Hardtask Ms. Hardtask	11/15/79

For Priority Services Only	REQUESTED DISTRIBUTION DATE	SIGNATURE (DIVISION DIRECTOR OR DEPUTY)
	11/15/79	U. R. Wright

SPECIAL INSTRUCTIONS:
Xerox five copies and staple a blue cover on the reports so the mandated release date can be met. The division representative will hand-carry the xeroxed copies to the addressee. The printed report should show the same release date as the advance copies.

FOR FURTHER INFO. CONTACT	PHONE	ROOM
J. Dandy	375-8765	201

PRINTING SUPERVISOR

DELIVERED FOR DISTRIBUTION (Signature)

DATE | TIME

PAGES
EDITED ______
TYPED ______
PRINTED ______

NO. OF COPIES
INITIAL ______
OTHER ______
TOTAL ______

- o A separate form must be prepared for OP and OGC.

- o This block should be used to request (1) advance reviews and (2) reviews of draft reports which are to be released.
- o A valid reason for this review must be shown in the "Other Information" section.
- o Following advance reviews the reviewing offices will advise divisions of problems or suggestions. A recommendation is not sent to the Comptroller General.
- o An advance review is not a substitute for a final review.

- o Check this block when requesting final review, i.e., the reviewing office will forward the form 117 with its recommendations to the Comptroller General.
- o The final edited draft, as approved by the division director, should be sent to the reviewing offices.

  NOTE: The title, cover summary and digest should be reviewed by the Information Officer before the report is submitted to OP and OGC for final review.

- o Provide a legible copy (clean copy if available) of the report.

- o Someone who can answer the reviewer's questions.
- o Telephone number.

- o In addition to the information requested on the form, include
  - —Reason for the advance review.
  - —If an explanatory memo is not required (less than 50 staff days), a statement of any coordination within the Office. (RM 19-12)

- o Remove and retain this copy (pink) for division or office files.

* * * General notes on p. II-16 * * *

GAO FORM 117 (REV 7-75)
*Previous edition may be used until supply is exhausted

U S GENERAL ACCOUNTING OFFICE

TRANSMITTAL OF REPORT FOR REVIEW

PART I
(TO BE COMPLETED BY ORIGINATING DIVISION OR OFFICE)

To: [X] OFFICE OF POLICY
[ ] OFFICE OF THE GENERAL COUNSEL

For: [ ] ADVANCE REVIEW ②
[X] FINAL REVIEW ③

①

REPORT TITLE

Classification of Federal White-Collar Jobs Should Be Better Controlled

REPORT NUMBER
FPCD-76-173

B-NUMBER
B-123456

FOR INFORMATION CALL
Sue Mack, Ext. 55555 ④

OTHER INFORMATION *(For use in disclosing any special points to be considered by reviewers including reference to memorandums or previous discussions on legal or policy points pertinent to this report, any potentially controversial or sensitive matters or other pertinent matters not evident from the report)*

We expect the issues discussed in chapter 3 will be controversial, especially in the Washington area. The Office of General Counsel helped prepare the chapter and formulate recommendations. OGC memorandum is included in the report review package. ⑤

Priority processing is requested to help get the report issued before hearings scheduled for May 5, 1976.

THE ACCOMPANYING REPORT HAS BEEN DETERMINED TO COMPLY WITH ALL OFFICE REQUIREMENTS, EXCEPT AS SPECIFIED ABOVE.

4/25/76 — John Doe
(Date) — SIGNATURE *(Director)*

PART II
(TO BE COMPLETED BY REVIEWING OFFICE)

To : COMPTROLLER GENERAL

Thru: DEPUTY COMPTROLLER GENERAL

[ ] ASSISTANT to the COMPTROLLER GENERAL, PPP

[ ] WE RECOMMEND THAT THE REPORT BE SIGNED.

[ ] FOR THE REASONS STATED IN THE ATTACHED MEMORANDUM, WE RECOMMEND THAT THE REPORT NOT BE SIGNED.

(Date) — SIGNATURE

ORIGINAL

COPY 1

COPY 2

DIVISION OR OFFICE COPY ⑥

GENERAL NOTES

- Allow at least seven working days for OP and OGC review.
- Allow at least two working days for review by the Deputy Comptroller General and the Comptroller General.
- Complete only Part I of the form. The reviewing offices will complete Part II.
- The reviewing offices will notify the divisions of any problems with the reports. The divisions are responsible for seeing that changes resulting from Policy or General Counsel reviews are made in the final report.

NOTES

☆U.S. GOVERNMENT PRINTING OFFICE:1979 620-386/385 1-3