

GAO

Report to the Secretary of Housing and  
Urban Development

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February 1997

HUD

Field Directors' Views  
on Recent Management  
Initiatives



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United States  
General Accounting Office  
Washington, D.C. 20548

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Resources, Community, and  
Economic Development Division

B-275606

February 12, 1997

The Honorable Andrew M. Cuomo  
The Secretary of Housing and Urban Development

Dear Mr. Secretary:

In 1994, we designated the Department of Housing and Urban Development (HUD) as a high-risk area because of four long-standing deficiencies that made it especially vulnerable to waste, fraud, abuse, and mismanagement. These deficiencies were an ineffective organizational structure, insufficient staff skills, inadequate information and financial management systems, and weak internal controls.

Since then, we have issued two reports as part of GAO's High Risk-Series that update HUD's progress in addressing the problems that led to HUD's high-risk designation. In February 1995, we reported that HUD had begun to (1) redesign its field structure, (2) increase its training efforts, (3) improve and integrate its management information systems, and (4) implement a new management approach that balanced risks with results.<sup>1</sup> In February 1997, we reported that additional progress had been made in overhauling the Department's operations.<sup>2</sup> However, we noted that changes to the organizational structure were continuing; the quantity and quality of training still needed improvement; much work still remained to improve HUD's information and financial management systems; and major, long-standing internal control problems persisted.

In preparing our 1997 report, we conducted a telephone survey of 155 directors in four of HUD's major program areas—single-family housing, multifamily housing, public housing, and community planning and development—at HUD's 40 largest field offices. (See app. I for a list of the offices and app. II for a copy of the survey and its results.) The survey obtained the directors' perspectives on the corrective actions HUD has undertaken over the past 2 years. We are sending you this report to assist you in evaluating the effectiveness of the Department's efforts to date and in identifying those areas needing further management attention.

In summary, our survey showed the following:

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<sup>1</sup>High-Risk Series: Department of Housing and Urban Development (GAO/HR-95-11, Feb. 1995).

<sup>2</sup>High-Risk Series: Department of Housing and Urban Development (GAO/HR-97-12, Feb. 1997).

- Most field directors considered HUD's field office reorganization, completed in September 1995, an overall success, but there were differences of opinion among the directors and program areas concerning HUD's success in meeting certain reorganization goals.
- A majority of the directors said that (1) they were satisfied with the skills of their staffs and that staff training had increased over the last 2 years, (2) training needed to be further increased in all areas, and (3) they did not have enough staff members to effectively administer their programs.
- The satisfaction with information and financial management systems differed by program area; almost three-quarters of the community planning and development and public housing directors were satisfied with their systems, whereas only a third of the multifamily housing directors were satisfied.
- Although a majority of the directors rated HUD's overall internal control system as good or excellent, a substantial number said that (1) their systems were only fair or poor for certain activities, such as ensuring data reliability and compliance with laws and regulations, and (2) HUD's programs have not received adequate monitoring.

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## Background

We initially designated HUD's organizational structure a management deficiency in 1994 because the overlapping roles of field offices and headquarters reduced the organization's effectiveness and prevented management from being accountable for HUD's programs. At the time of our 1995 report, HUD was reorganizing its field office structure to clarify the lines of programmatic and administrative authority, enhance communications between headquarters and the field, eliminate unnecessary management layers, and improve customer service. In September 1995, HUD completed the field reorganization, eliminating 10 regional offices, transferring authority for field staff and resources to Assistant Secretaries in HUD headquarters, and restructuring the Department's 81 field offices. To date, HUD has not evaluated the impact that these changes have had on the Department's effectiveness. HUD is in the process of further reorganization to reduce the size of the headquarters staff and redeploy and train staff. Also, HUD is currently making a study of closing additional field offices.

HUD has historically had difficulty maintaining a workforce capable of effectively delivering and monitoring its myriad of programs. In 1995, we reported that the number and qualifications of HUD staff were inadequate to perform essential functions—particularly in light of the Department's inadequate information systems. In 1997, we reported on HUD's continued

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efforts to improve the skills of its staff, noting that in the past 2 years, HUD had increased the amount of training available to staff, encouraged employees to formulate individual development plans, forged partnerships with colleges and universities, and begun a needs assessment process to identify future training needs.

In 1995, we also reported that after a decade of problems, HUD's information systems continued to be poorly integrated, ineffective, and generally unreliable. However, we noted that the Department was committed to correcting its long-standing problems and making its information resources management program more responsive to HUD's mission. In 1997, we reported that HUD had subsequently taken numerous actions to create a network of flexible, integrated computer systems that will enable program staff to oversee the financial and programmatic integrity of their operations. However, we also noted that some major financial and information systems will not be completed before the year 2001 and that some systems currently cannot be relied on to provide timely, accurate, and reliable information and reports to management.

In 1995, we reported that HUD still needed to complete its efforts to address internal control weaknesses.<sup>3</sup> At that time, the Department was developing a new method of integrating management controls into program delivery and budget development by requiring each division to annually identify and rank the risks in each of its programs and to devise a strategy for abating those risks. Our 1997 High-Risk Series report noted that HUD had fully implemented its management planning and control program in fiscal year 1995, but serious problems remain. In addition, we, HUD's Inspector General, and independent auditors have identified a lack of monitoring in certain programs as a continuing problem.

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## Directors Generally Consider the Reorganization a Success

The majority of field directors we surveyed considered the September 1995 field office reorganization successful and believed that it achieved most of HUD's intended goals. These goals included clarifying the lines of programmatic and administrative authority and accountability, improving communication with HUD's customers, empowering field managers and staff, and improving communication between headquarters and the field. (See figs. 1 and 2.) Three-quarters of the directors said that, overall, HUD has made excellent or good progress toward the goals of the

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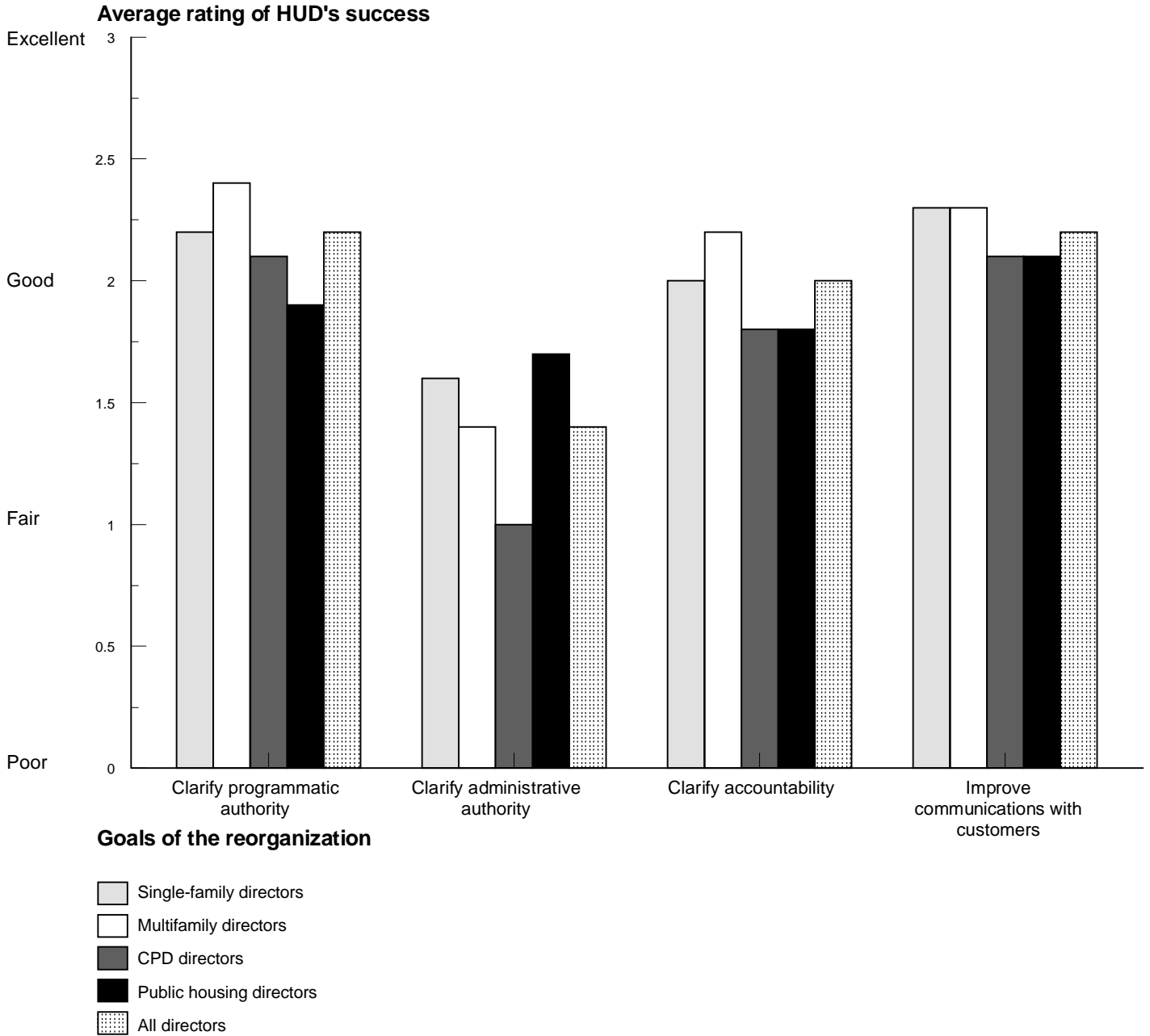
<sup>3</sup>An agency's internal control system provides the framework for accomplishing management objectives, ensuring accurate financial reporting, and complying with laws and regulations. Effective internal controls provide reasonable assurance that resources are effectively managed and accounted for.

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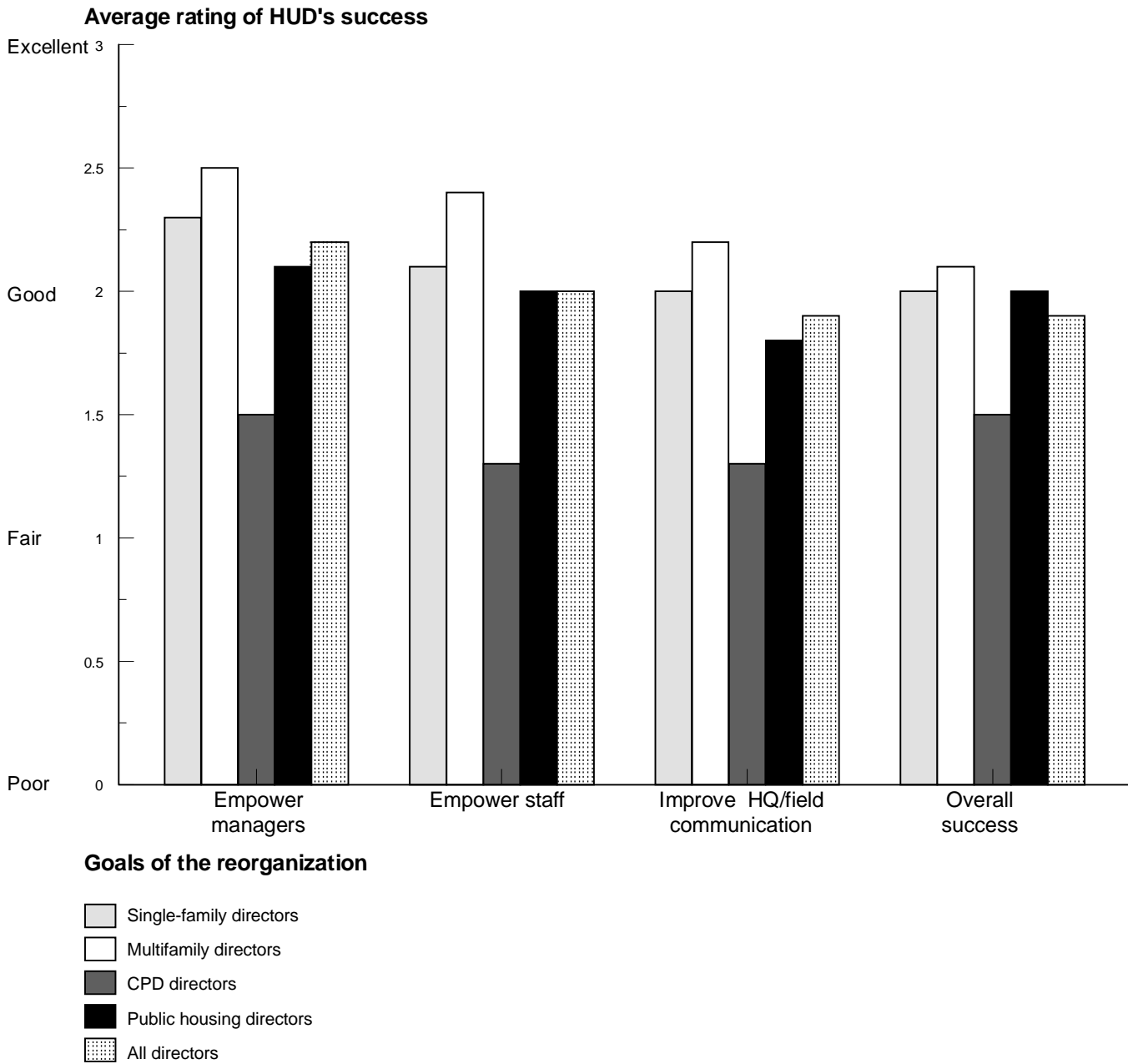
reorganization. However, the directors from community planning and development (CPD) programs generally had more negative views: They were almost evenly divided between those who said the reorganization's success was excellent or good and those who said it was only fair or poor. (See app. II, questions 7-9, for the directors' views on HUD's progress toward each goal, summarized by type of director.)

When asked to rate HUD's success in terms of each individual goal of the reorganization, the directors indicated that the Department has been most successful in clarifying the lines of programmatic authority and improving communication with HUD's customers and least successful in clarifying the lines of administrative authority. As noted in figure 2, opinions differed by program area. For example, most multifamily housing directors believed that HUD's progress toward the goal of empowering staff was excellent or good, whereas the majority of CPD directors said that HUD's progress toward that goal was only fair or poor. There was a similar variation in the directors' views on how successful HUD has been in improving communication between headquarters and field offices. Again, most multifamily housing directors said that HUD's progress toward this goal was excellent or good, whereas almost half of the CPD directors thought that HUD's progress was only fair (24 percent) or poor (24 percent).

**Figure 1: Directors' Opinions on the Success of HUD's Field Reorganization in Meeting Four Goals, Average Scores by Type of Director**



**Figure 2: Directors' Opinions on the Success of HUD's Field Reorganization in Meeting Three Additional Goals, and on Overall Success, by Type of Director**





To gauge the effect of HUD's reorganization and new management approach on the activities conducted in the field, we asked directors whether headquarters placed appropriate emphasis on nine specific activities. (See table 1.) A majority of the directors said that the emphasis that headquarters placed on most activities was about right, although most said that HUD does not place enough emphasis on learning technical skills (67 percent) or cross-training (59 percent).<sup>4</sup> The only objective that was overemphasized was reaching numeric performance goals, according to a significant number of the directors. Forty percent of the directors (and 64 percent of single-family housing directors) said that HUD headquarters placed too much emphasis on this objective.

**Table 1: Percentage of Directors Who Said Headquarters' Emphasis on Some Objectives Should Be Higher**

<b>Management objective</b>	<b>Single-family</b>	<b>Multifamily</b>	<b>CPD</b>	<b>Public housing</b>	<b>All directors</b>
Learning technical skills	78	60	69	69	67
Learning interpersonal skills	42	33	50	41	40
Keeping up to date on regulations	34	17	49	29	31
Becoming cross-trained in other job responsibilities	66	67	50	56	59
Performing essential program monitoring	57	31	59	23	42
Increasing customer satisfaction	25	17	15	14	20
Improving service delivery	33	25	21	29	29
Reducing risk of fraud and waste	56	22	50	46	44
Reaching numeric performance goals	6	3	3	0	3

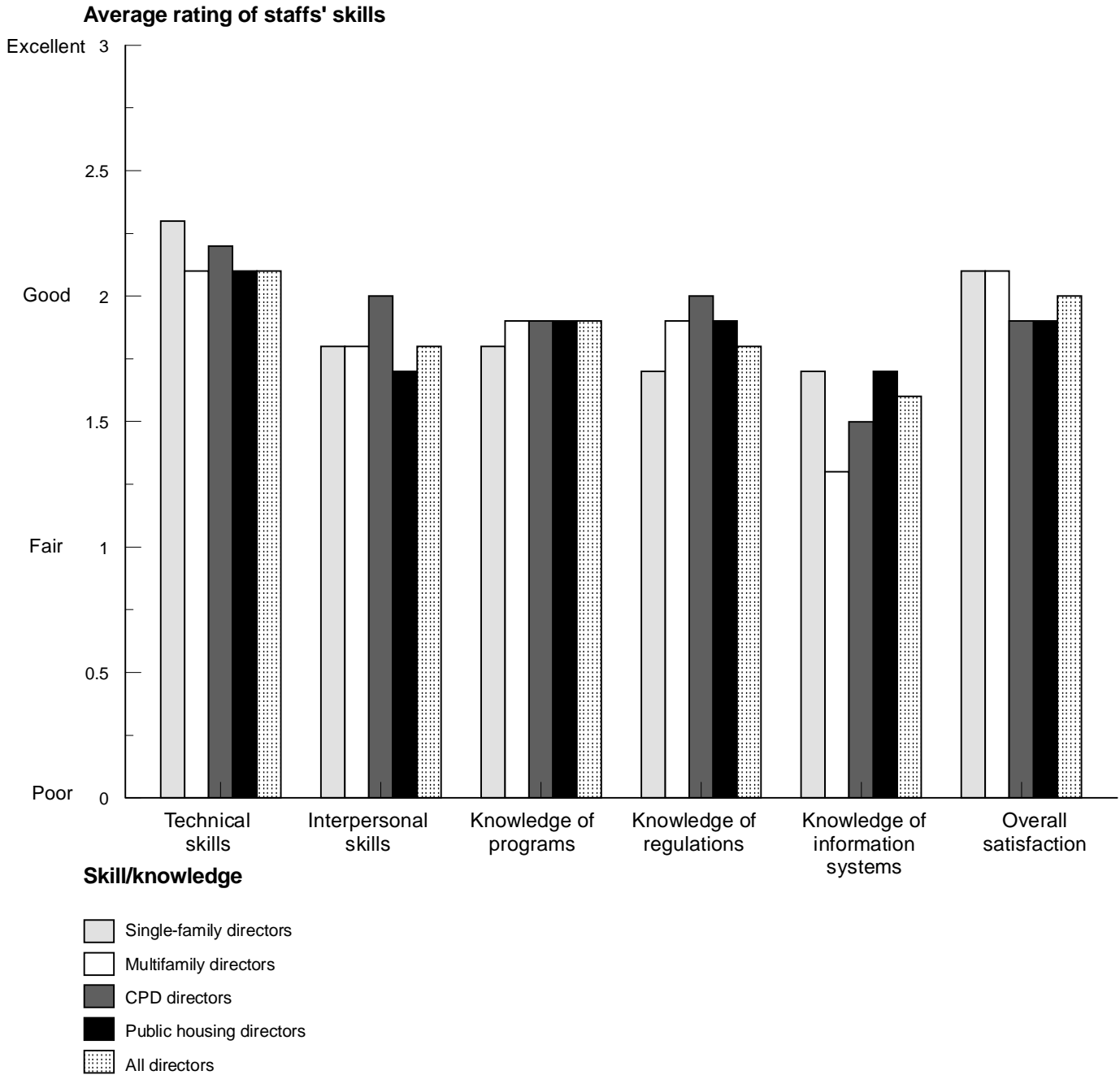
<sup>4</sup>That is, providing staff with opportunities to obtain a broader range of skills than those essential to performing their current duties.

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## Directors Believed That Staffs' Skills and Training Have Improved, but Problems Remain

Most directors said they were satisfied with the skills of their staffs. Four out of five directors said they were very satisfied or generally satisfied with their staffs' skills, and most said that the skills of their staffs had improved greatly or somewhat in the past 2 years. (See app. II, questions 10-14, for the directors' views on staffs' skills and training.) As shown on figure 3, for the five types of skills we asked about, they rated their staffs' technical skills highest, but they had similarly favorable views of their staffs' interpersonal skills, knowledge of new programs, knowledge of new regulations, and knowledge of information systems.

Figure 3: Directors' Opinions on Staffs' Skills, Average Scores by Type of Director



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Nonetheless, a significant number of directors said the skills of their staffs were weak in specific areas. The weaknesses they identified varied somewhat by program area. For example, 40 percent of the public housing directors rated their staffs' interpersonal skills as only fair. More than half of all multifamily housing directors rated their staffs' knowledge of information systems as fair (39 percent) or poor (17 percent). In addition, a third of the single-family housing directors said their staffs' knowledge of new regulations was fair.

Most directors believed that the quality of training at HUD has improved over the past 2 years; however, many indicated that the quality and quantity of training need additional improvement. Overall, more than a third of the directors said they consider the quality of HUD's current training only fair. The single-family housing directors were most critical—a majority said HUD's training was fair or poor. Moreover, while the directors' responses indicated that the efforts to improve HUD's training curriculum may have produced some benefits, most directors indicated that their staffs need more training in information systems (88 percent), technical job skills (73 percent), program regulations and changes (67 percent), and interpersonal skills (52 percent).

Most directors also believed that maintaining adequate staffing levels is a continuing problem. Seventy-seven percent said that they have fewer staff than they need to effectively carry out essential program activities. This opinion held across program areas, although the directors in some areas were more likely to say that they were short-staffed. For example, 89 percent of the multifamily housing directors reported that they were short-staffed, whereas 61 percent of the single-family housing directors said that they had fewer staff members than they needed.

Consistent with the fact that most directors said that they had fewer staff members than they needed, most also reported that their workloads had increased over the last 2 years. Seventy-three percent said that the workloads of the individuals in their areas of responsibility had increased. Again, the responses varied somewhat by program area. Almost every CPD director indicated that workloads had increased, whereas only half of the single-family housing directors reported increased workloads. Overall, the directors who reported increased workloads most frequently attributed the increases to reductions in staff (77 percent), new regulations and initiatives in existing programs (76 percent), the creation of new programs (73 percent), and new Department-wide management initiatives (71 percent). On the other hand, more than a third of the single-family

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housing directors reported that the elimination of some programs had actually reduced their workloads to some extent.

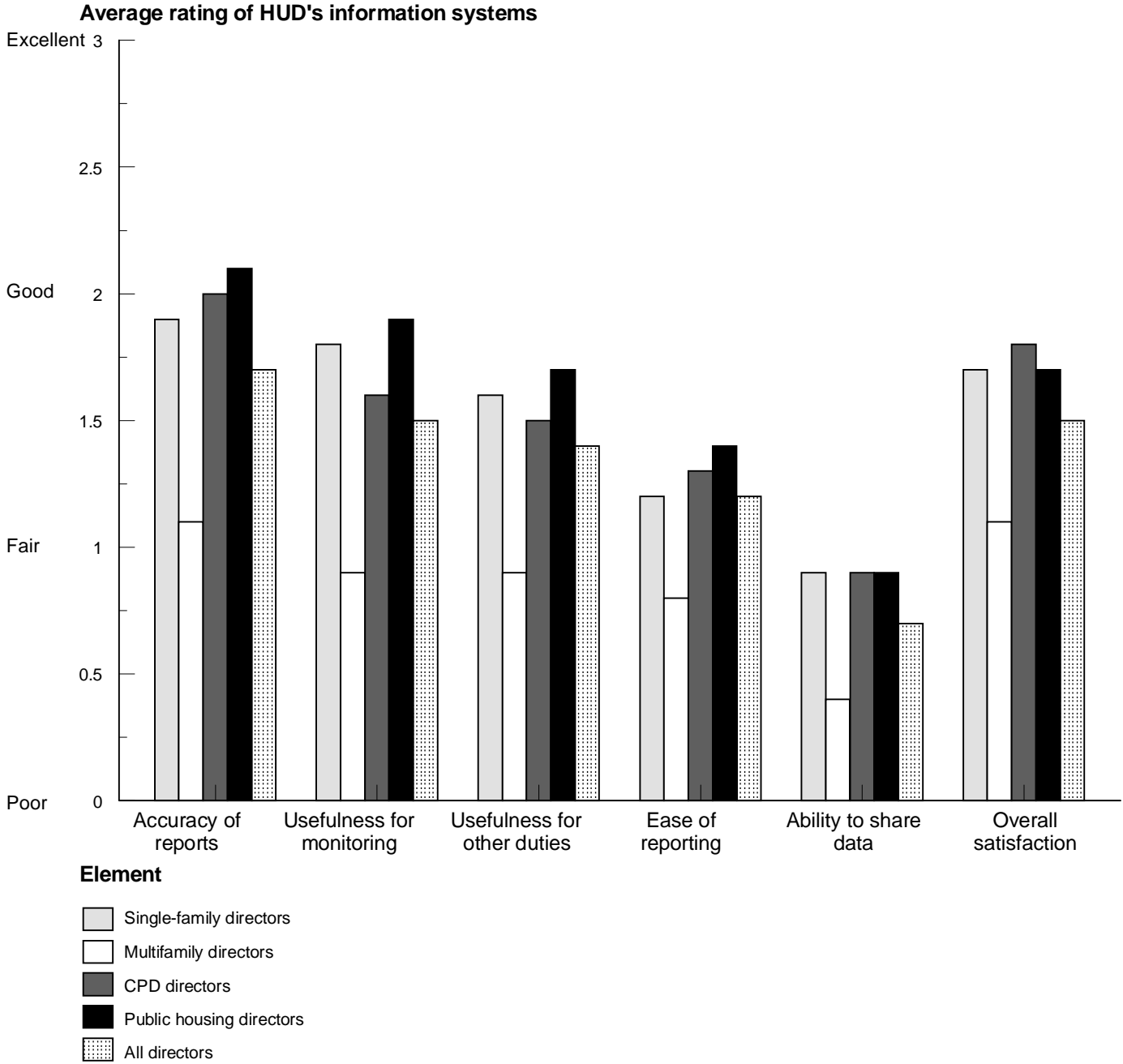
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## HUD Directors Had Mixed Opinions About Information Systems

Each program area uses several different systems, and each system is in various stages of development, integration, and implementation. The directors' overall satisfaction with HUD's information systems varied by program area. The CPD and public housing directors were most satisfied with the systems in their areas of responsibility. More than 70 percent of the directors from those program areas were generally satisfied. In contrast, the single-family and multifamily housing directors were least satisfied with their systems. (See app. II, questions 15 and 16, for the directors' views on information systems.)

The directors' responses also varied by program area when they were asked to rate the information systems in their areas of responsibility against five specific criteria: accuracy, usefulness for monitoring, usefulness for other duties, ease of reporting, and ability to share data with other systems within HUD. The multifamily housing directors were consistently least satisfied with their systems; the public housing directors generally reported the highest levels of satisfaction. (See fig. 4.) Directors in all program areas tended to be most satisfied with the accuracy of the data in the reports generated by HUD's information systems and least satisfied with the ability of the systems they use to share data or to interact. In fact, half of the directors, across program areas, rated the ability of their systems to share data as poor, while a third of the directors rated this category as fair. The ease of generating reports from their information systems was also an area of concern for directors in all program areas—the majority rated their systems as fair or poor in this category as well.

Figure 4: Directors' Opinions on Their Information Systems, Average Scores by Type of Director



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Despite the fact that many directors were dissatisfied with their current systems, most said those systems were at least as good or better than they were 2 years ago. When asked whether or not their systems had changed over the past 2 years, most directors said that the accuracy of the data had improved, while about one-half said that the ease of reporting, the usefulness of information systems for monitoring and other job duties, and the ability to share data with other HUD systems had stayed about the same. The public housing directors were consistently the most likely to report that their systems had improved over the past 2 years, and the single-family directors were the least likely to do so.

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## Directors Had Mixed Views on the Adequacy of Internal Controls

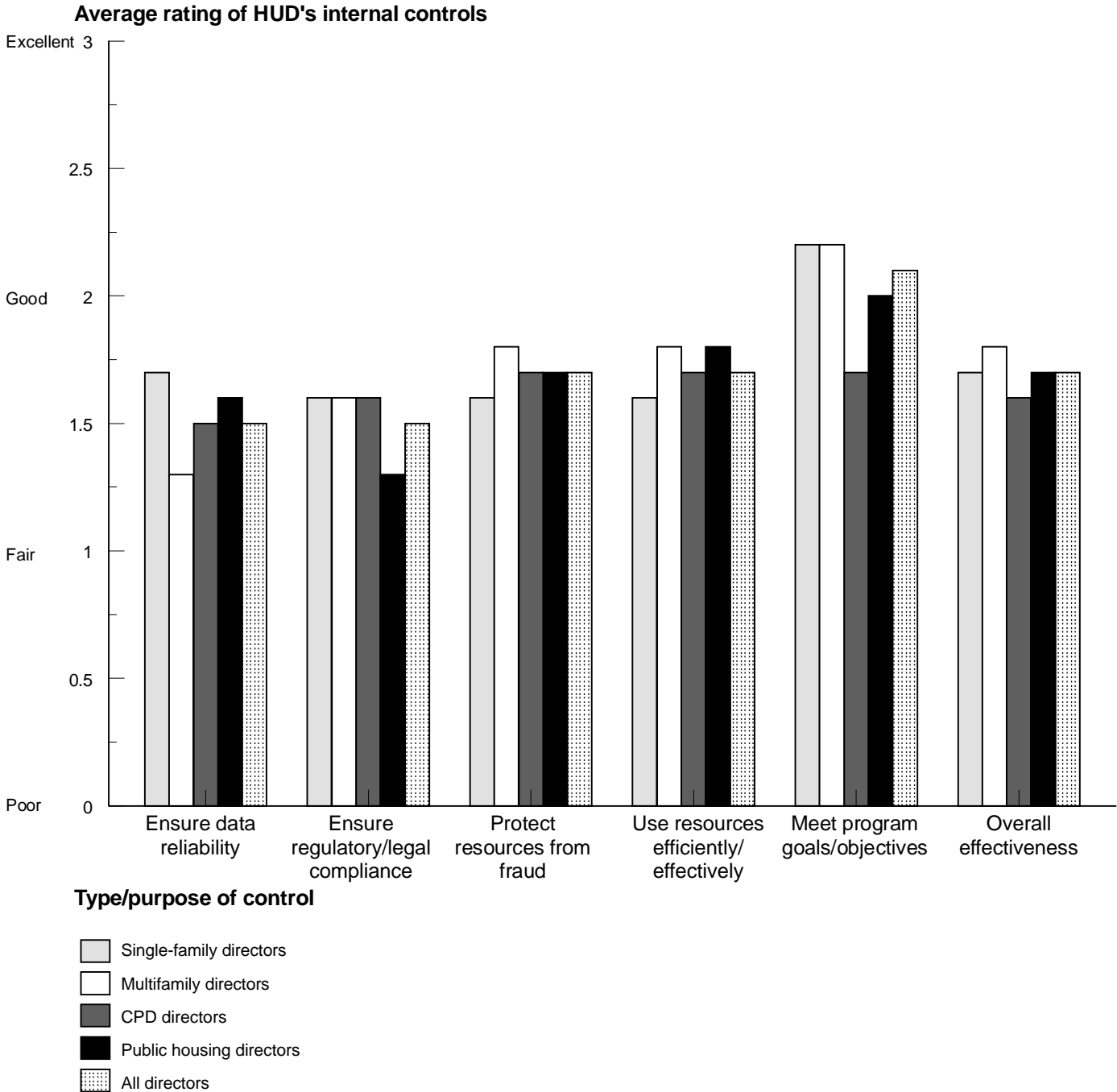
Although most directors believed HUD's overall system of internal controls was good or excellent, a significant percentage said some specific internal controls were only fair or poor. For example, many directors characterized as fair or poor HUD's internal controls for ensuring data reliability (50 percent) and compliance with laws and regulations (44 percent); also characterized as fair or poor were the controls for ensuring that resources are protected from fraud (38 percent) and that resources are used efficiently and effectively (31 percent). (See app. II, question 17, for the directors' views on internal controls.)

Overall, the directors in all program areas reported similar levels of satisfaction with internal controls in their areas of responsibility (see fig. 5).<sup>5</sup> However, their responses varied by program area and type of control. The directors were most satisfied with the internal controls to ensure that program goals and objectives are met. Ninety-two percent of the single-family housing and 89 percent of the multifamily housing directors rated these activities as good or excellent. The public housing directors were somewhat less satisfied than the other directors with the internal controls in place to ensure compliance with laws and regulations. The multifamily directors reported the least satisfaction with the internal controls to ensure that reported data are reliable—about 64 percent rated those controls as fair or poor.

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<sup>5</sup>The directors' ratings of five specific types of controls were averaged to obtain a measure of their overall satisfaction.

Figure 5: Directors' Views on the Effectiveness of HUD's Internal Controls, Average Scores by Type of Director





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HUD's Department Management Control Program Handbook recognizes that monitoring program participants is a critical management control. Despite its importance, monitoring continues to be a problem area for HUD. Many directors said HUD's management needs to place greater emphasis on activities that reduce the risk of fraud and waste (44 percent), particularly conducting essential program monitoring (42 percent). The vast majority of the directors who considered current monitoring inadequate said that insufficient staff was a major reason (66 percent) or minor reason (23 percent) that adequate monitoring is not being carried out. A smaller percentage of the directors also cited lack of travel funds, headquarters' emphasis, and staffs' skills as reasons for inadequate monitoring.

The directors most frequently identified the on-site monitoring of HUD's clients (71 percent) and monitoring of HUD's contractors (57 percent) as specific types of monitoring that should be increased. The single-family housing directors were least satisfied with the levels of monitoring being done in these areas; 83 percent reported a need to increase on-site monitoring, and 69 percent said that more monitoring of HUD contractors should be done. In addition, the multifamily housing directors (72 percent) and the public housing directors (51 percent) frequently said that HUD needs to increase its reviews of the audit reports submitted by independent public accountants on behalf of those who receive and spend HUD's funds.

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## Scope and Methodology

We obtained information for this report from a telephone survey of directors of HUD's major programs in the field. Our survey, conducted during August 1996, asked the directors for their views on HUD's 1995 field office reorganization and other corrective actions the Department has taken in the past 2 years. It included 155 persons serving as the directors of single-family housing, multifamily housing, CPD, and public housing at 40 of HUD's largest field offices, as well as the 14 Directors of Housing who are located in those field offices.<sup>6</sup> Although we have not reported their responses separately, the opinions of the Directors of Housing are included whenever we present results for all directors. (See app. II for the full text of our survey and the responses to it.) Our survey population does not represent directors from other programs or the directors from HUD's smallest offices.

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<sup>6</sup>We ranked the offices by size using data provided by HUD's headquarters on the number of staff assigned to each location; the staff assigned to the 40 offices in our survey population represent 86 percent of HUD's field staff.

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We surveyed directors who had been in their current position for at least 4 months and with HUD for at least 24 months. We did not survey directors with less than 4 months of experience, who may be less familiar with the effects of the changes that have recently occurred at HUD. Seven directors were excluded for this reason. In addition, one eligible director declined to participate in our survey, resulting in a 99-percent response rate. To summarize the directors' opinions in bar graphs, for questions with the response categories "excellent," "good," "fair," and "poor," we assigned values of 3, 2, 1, and 0 points, respectively, to the responses and averaged the numerical values. For questions using a satisfaction scale, a parallel strategy was used.<sup>7</sup>

We met with agency officials to discuss our survey results. They noted that they had not evaluated any of the management initiatives discussed in our report and therefore had no basis to dispute our survey results. However, in several instances they provided observations about the directors' responses to our survey. For example, concerning the negative tenor of the CPD directors' responses, the officials commented that the CPD directors' responses appear to be intended to send headquarters a message rather than answer questions on the basis of the real situations in the field. They also noted that addressing the training needs identified at the time of our survey will not ensure that future training needs are met because the Department is about to go through significant changes due to buyouts, redeployments, and consolidations. The officials recognized that there are staffing and workload imbalances, particularly in the field, and commented that these imbalances may be contributing to the directors' perceptions that their workloads are increasing. The officials also conceded that reaching numeric performance goals is overemphasized by headquarters management and noted that efforts are being made to correct this situation.

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<sup>7</sup>This scaling approach assumes equal intervals between response categories.

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We performed our work from April 1996 through January 1997 in accordance with generally accepted government auditing standards.

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Please call me at (202) 512-7631 if you or your staff have any questions about this report. Major contributors to this report are listed in appendix III.

Sincerely yours,

A handwritten signature in cursive script that reads "Judy A. England-Joseph".

Judy A. England-Joseph  
Director, Housing and Community  
Development Issues

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## Abbreviations

HUD	Department of Housing and Urban Development
CPD	community planning and development

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# HUD's Field Offices Included in the Telephone Survey

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1. Illinois State Office\*
2. Georgia State Office\*
3. Colorado State Office\*
4. Texas State Office\*
5. New York State Office\*
6. California State Office\*
7. Pennsylvania State Office\*
8. Washington State Office\*
9. Kansas/Missouri State Office\*
10. Massachusetts State Office\*
11. Los Angeles Area Office\*
12. Michigan State Office\*
13. Arizona State Office
14. Jacksonville Area Office\*
15. North Carolina State Office
16. Buffalo Area Office
17. District of Columbia Office
18. New Jersey State Office
19. San Antonio Area Office
20. Minnesota State Office
21. Oklahoma State Office
22. Cleveland Area Office
23. Ohio State Office
24. Virginia State Office
25. Maryland State Office
26. Indiana State Office
27. Alabama State Office
28. Louisiana State Office
29. Houston Area Office
30. Pittsburgh Area Office
31. Wisconsin Area Office
32. St. Louis Area Office\*
33. South Carolina State Office
34. Caribbean Office
35. Arkansas State Office
36. Connecticut State Office
37. Kentucky State Office
38. Tennessee State Office
39. Mississippi State Office
40. Albany Area Office

Note: Asterisk denotes offices that have a Director of Housing.

# GAO Telephone Survey of HUD Field Directors With Responses

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
1. Our first series of questions asks about workload of individual staff in your area of responsibility over the last 2 years. <sup>a</sup>						
a. Would you say this workload has...?						
1. Increased	50	83	93	65	85	73
2. Decreased	15	0	0	3	0	4
3. Stayed about the same	35	17	7	32	15	22
	n=34 <sup>b</sup>	n=36	n=29	n=31	n=13	n=143
b. (For those who said increased) would you say...?						
1. Increased greatly	65	50	70	60	64	61
2. Increased somewhat	35	50	30	40	36	39
	n=17	n=30	n=27	n=20	n=11	n=105
c. (For those who said decreased) would you say...?						
1. Decreased greatly	20	0	0	0	0	17
2. Decreased somewhat	80	0	0	100	0	83
	n=5	n=0	n=0	n=1	n=0	n=6
2. Next, I'll read a list of changes that may have affected the workload in your area of responsibility over the last 2 years. For each one I read, please tell me whether it has increased, decreased, or has not affected your and your staff's workload. If any item does not apply to you, just tell me.						
a. New programs in your area of responsibility.						
1. Increased	66	60	79	81	92	73
2. No effect	34	37	21	19	8	27
3. Decreased	0	3	0	0	0	1
	n=35	n=35	n=28	n=32	n=13	n=143

(continued)

**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
b. New regulations and new initiatives in your programs.						
1. Increased	83	78	90	56	71	76
2. No effect	9	8	3	31	29	14
3. Decreased	9	14	7	13	0	10
	n=35	n=36	n=29	n=32	n=14	n=146
c. New management initiatives such as reinvention.						
1. Increased	69	83	86	59	43	71
2. No effect	26	8	7	22	36	18
3. Decreased	6	8	7	19	21	11
	n=35	n=36	n=28	n=32	n=14	n=145
d. Reductions in staff within your area of responsibility.						
1. Increased	74	83	76	75	79	77
2. No effect	23	11	24	25	14	20
3. Decreased	3	6	0	0	7	3
	n=35	n=36	n=29	n=32	n=14	n=146
e. Elimination of programs in your area of responsibility.						
1. Increased	13	3	0	0	8	5
2. No effect	50	84	88	84	77	76
3. Decreased	38	13	13	16	15	20
	n=32	n=32	n=24	n=32	n=13	n=133
3. Please consider the number of staff you need in order to effectively carry out the programs and activities in your area of responsibility. Given your workload, do you have more staff, less staff, or about the right number to carry out your activities?						
1. More	8	3	0	0	0	3
2. About the right number	31	8	18	26	21	21
3. Less	61	89	82	74	79	77
	n=36	n=37	n=33	n=35	n=14	n=155

(continued)



**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
4. We'd like to ask about several types of monitoring that might be done within your area of responsibility. For each one I read, please tell me whether or not your staff has done that type of monitoring since October 1, 1995. Then tell me whether the amount of that monitoring should be increased, decreased, or stay the same as it is now.						
a. Has your staff conducted on-site inspections since October 1, 1995?						
1. Yes	89	100	91	94	100	94
2. No	11	0	9	6	0	6
	n=36	n=37	n=33	n=35	n=14	n=155
b. Should the amount of on-site inspections...?						
1. Increase	83	65	66	69	71	71
2. Stay the same	17	32	28	29	29	27
3. Decrease	0	3	6	3	0	3
	n=36	n=37	n=32	n=35	n=14	n=154
c. Has your staff conducted telephone inquiries since October 1, 1995?						
1. Yes	64	78	88	97	71	80
2. No	36	22	13	3	29	20
	n=36	n=37	n=32	n=34	n=14	n=153
d. Should the amount of telephone inquiries...?						
1. Increase	44	19	26	56	29	36
2. Stay the same	53	75	65	38	64	58
3. Decrease	3	6	10	6	7	6
	n=34	n=36	n=31	n=34	n=14	n=149

(continued)

**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
e. Has your staff reviewed reports and records submitted by recipients of HUD funding, such as grantees or lenders?						
1. Yes	92	100	100	100	100	98
2. No	8	0	0	0	0	2
	n=36	n=37	n=33	n=34	n=14	n=154
f. Should review of reports and records submitted by recipients of HUD funding, such as grantees or lenders...?						
1. Increase	46	49	25	44	43	41
2. Stay the same	51	43	53	53	50	50
3. Decrease	3	8	22	3	7	9
	n=35	n=37	n=32	n=34	n=14	n=152
g. Has your staff reviewed IPA reports since October 1, 1995?						
1. Yes	15	95	94	100	100	78
2. No	85	5	6	0	0	22
	n=34	n=37	n=33	n=35	n=12	n=151
h. Should reviews of IPA reports...?						
1. Increase	23	72	19	51	73	46
2. Stay the same	73	22	61	49	27	48
3. Decrease	3	6	19	0	0	6
	n=30	n=36	n=31	n=35	n=11	n=143
i. Do you use contractors in your area of responsibility?						
1. Yes	100	97	79	83	100	91
2. No	0	3	21	17	0	9
	n=36	n=36	n=33	n=35	n=14	n=154
j. Has your staff reviewed the work done by contractors since October 1, 1995?						
1. Yes	100	94	81	79	100	91
2. No	0	6	19	21	0	9
	n=36	n=35	n=26	n=29	n=14	n=140

(continued)

**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
k. Should the amount of contractor monitoring...?						
1. Increase	69	49	56	46	64	57
2. Stay the same	31	51	40	50	36	42
3. Decrease	0	0	4	4	0	1
	n=36	n=35	n=25	n=28	n=14	n=138
5. You've mentioned that monitoring should be increased, at least in some areas. Let me read you a list of reasons that the level of this monitoring activity may be lower now than it should be. For each one I read, tell me whether this is a major reason, minor reason, or not a reason.						
a. Not enough HUD staff available.						
1. Major reason	64	76	55	63	75	66
2. Minor reason	21	21	28	20	25	23
3. Not a reason	15	3	17	17	0	12
	n=33	n=33	n=29	n=30	n=12	n=137
b. Available HUD staff do not have the skills to do monitoring.						
1. Major reason	24	15	7	20	23	17
2. Minor reason	52	52	31	33	54	44
3. Not a reason	24	33	62	47	23	39
	n=33	n=33	n=29	n=30	n=13	n=138
c. Not enough travel funds.						
1. Major reason	30	36	59	27	23	36
2. Minor reason	33	24	24	43	15	30
3. Not a reason	36	39	17	30	62	34
	n=33	n=33	n=29	n=30	n=13	n=138
d. Monitoring is not a high enough priority at this time.						
1. Major reason	19	6	33	14	25	19
2. Minor reason	39	25	26	7	33	25
3. Not a reason	42	69	41	79	42	56
	n=31	n=32	n=27	n=28	n=12	n=130

(continued)

**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
e. Monitoring is not included in management's performance goals.						
1. Major reason	34	16	18	3	15	18
2. Minor reason	28	16	7	17	23	18
3. Not a reason	38	69	75	80	62	64
	n=32	n=32	n=28	n=30	n=13	n=135
6. There are many competing goals in every organization, and some things displace others in the priority system. I would like to know what emphasis you feel HUD headquarters currently places on the activity—not just in words but in their actions. Our categories are low, medium, high, and no opinion. Then, after you give each answer, I'll ask about the emphasis you as a manager feel should be placed on each of these activities, whether you think the emphasis should be higher, lower, or about the same amount.						
a. Is headquarters' emphasis on reaching numeric performance goals...?						
1. Low	0	0	19	23	0	9
2. Medium	0	11	36	46	0	20
3. High	100	89	45	31	100	70
	n=36	n=36	n=31	n=35	n=14	n=152
b. Do you think the emphasis on reaching numeric goals should be...?						
1. Higher	6	3	3	0	7	3
2. About the same	31	64	55	74	64	57
3. Lower	64	33	42	26	29	40
	n=36	n=36	n=31	n=35	n=14	n=152

(continued)

**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
c. Is headquarters' emphasis on cross-training...?						
1. Low	26	33	42	47	33	36
2. Medium	51	44	42	41	33	44
3. High	23	22	16	13	33	20
	n=35	n=36	n=31	n=32	n=12	n=146
d. Do you think the emphasis on cross-training should be...?						
1. Higher	66	67	50	56	42	59
2. About the same	34	33	50	41	58	41
3. Lower	0	0	0	3	0	1
	n=35	n=36	n=30	n=32	n=12	n=145
e. Is headquarters' emphasis on learning new interpersonal skills...?						
1. Low	25	25	21	24	23	24
2. Medium	36	31	42	35	23	35
3. High	39	44	36	41	54	41
	n=36	n=36	n=33	n=34	n=13	n=152
f. Do you think the emphasis on learning new interpersonal skills should be...?						
1. Higher	42	33	50	41	23	40
2. About the same	53	64	47	53	62	55
3. Lower	6	3	3	6	15	5
	n=36	n=36	n=32	n=34	n=13	n=151
g. Is headquarters' emphasis on learning technical skills needed for job responsibilities...?						
1. Low	33	14	34	40	14	29
2. Medium	44	38	47	31	50	41
3. High	22	49	19	29	36	31
	n=36	n=37	n=32	n=35	n=14	n=154

(continued)

**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
h. Do you think the emphasis on learning technical skills needed for job responsibilities should be...?						
1. Higher	78	60	69	69	50	67
2. About the same	22	38	31	31	50	33
3. Lower	0	3	0	0	0	1
	n=36	n=37	n=32	n=35	n=14	n=154
i. Is headquarters' emphasis on keeping up to date with regulations...?						
1. Low	9	11	33	15	8	16
2. Medium	60	46	39	29	31	43
3. High	31	43	27	56	62	41
	n=35	n=37	n=33	n=34	n=13	n=152
j. Do you think the emphasis on keeping up to date with regulations should be...?						
1. Higher	34	17	49	29	23	31
2. About the same	66	78	49	68	77	66
3. Lower	0	6	3	3	0	3
	n=35	n=36	n=33	n=34	n=13	n=151
k. Is headquarters' emphasis on completing essential program monitoring...?						
1. Low	28	3	41	9	7	18
2. Medium	44	39	38	37	43	40
3. High	28	58	22	54	50	42
	n=36	n=36	n=32	n=35	n=14	n=153
l. Do you think the emphasis on completing essential program monitoring should be...?						
1. Higher	57	31	59	23	43	42
2. About the same	43	69	41	74	57	57
3. Lower	0	0	0	3	0	1
	n=35	n=36	n=32	n=35	n=14	n=152

(continued)

**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
m. Is headquarters' emphasis on increasing customer satisfaction...?						
1. Low	3	0	3	6	0	3
2. Medium	6	3	6	9	0	5
3. High	92	97	91	86	100	92
	n=36	n=36	n=33	n=35	n=13	n=153
n. Do you think the emphasis on increasing customer satisfaction should be...?						
1. Higher	25	17	15	14	39	20
2. About the same	69	72	73	86	54	73
3. Lower	6	11	12	0	8	7
	n=36	n=36	n=33	n=35	n=13	n=153
o. Is headquarters' emphasis on improving service delivery...?						
1. Low	8	3	3	9	0	5
2. Medium	11	14	24	20	15	17
3. High	81	83	73	71	85	78
	n=36	n=36	n=33	n=35	n=13	n=153
p. Do you think the emphasis on improving service delivery should be...?						
1. Higher	33	25	21	29	46	29
2. About the same	64	75	79	69	54	70
3. Lower	3	0	0	3	0	1
	n=36	n=36	n=33	n=35	n=13	n=153
q. Is headquarters' emphasis on reducing the risk for fraud and waste...?						
1. Low	31	11	27	23	21	23
2. Medium	31	24	46	31	14	31
3. High	39	65	27	46	64	47
	n=36	n=37	n=33	n=35	n=14	n=155

(continued)

**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
r. Do you think the emphasis on reducing the risk for fraud and waste should be...?						
1. Higher	56	22	50	46	50	44
2. About the same	44	78	50	51	50	56
3. Lower	0	0	0	3	0	1
	n=36	n=37	n=32	n=35	n=14	n=154
7. Now, we'd like to ask some questions about the reorganization that has been happening at HUD and how it has affected your area of responsibility. I'll read a list of objectives that were planned for the reorganization over the past 3 years. For each one I read, please tell me whether you rate today's progress toward that objective as excellent, good, fair, or poor for your program division at HUD. If you don't have an opinion about an objective, just tell me and we'll go on to the next one.						
a. Establishing clear lines of programmatic authority.						
1. Excellent	29	60	38	31	86	44
2. Good	60	27	41	40	7	39
3. Fair	11	8	19	20	0	13
4. Poor	0	5	3	9	7	5
	n=35	n=37	n=32	n=35	n=14	n=153
b. Establishing clear lines of administrative authority.						
1. Excellent	17	11	0	20	14	12
2. Good	39	32	30	37	43	36
3. Fair	28	41	39	34	29	35
4. Poor	17	16	30	9	14	17
	n=36	n=37	n=33	n=35	n=14	n=155

(continued)



**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
c. Establishing clear lines of accountability.						
1. Excellent	19	35	22	24	50	28
2. Good	67	54	44	38	36	50
3. Fair	11	5	22	29	7	16
4. Poor	3	5	13	9	7	7
	n=36	n=37	n=32	n=34	n=14	n=153
d. Empowering staff, that is, giving your staff the authority to make decisions on their own.						
1. Excellent	31	54	6	31	57	34
2. Good	43	35	39	46	36	40
3. Fair	26	11	27	17	0	18
4. Poor	0	0	27	6	7	8
	n=35	n=37	n=33	n=35	n=14	n=154
e. Empowering managers, like you, in the field offices.						
1. Excellent	42	62	6	29	79	39
2. Good	47	30	49	49	14	41
3. Fair	11	8	30	23	0	16
4. Poor	0	0	15	0	7	4
	n=36	n=37	n=33	n=35	n=14	n=155
f. Improving communications between the field and headquarters.						
1. Excellent	31	38	15	26	36	29
2. Good	43	46	36	37	43	41
3. Fair	23	14	24	31	14	22
4. Poor	3	3	24	6	7	8
	n=35	n=37	n=33	n=35	n=14	n=154
g. Improving communications with HUD's customers.						
1. Excellent	40	39	27	26	50	35
2. Good	51	50	55	54	29	50
3. Fair	9	8	18	20	14	14
4. Poor	0	3	0	0	7	1
	n=35	n=36	n=33	n=35	n=14	n=153

(continued)

**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
8. Overall, how would you rate HUD's success with the reorganization in terms of improving your area of responsibility?						
1. Excellent	17	32	10	29	54	25
2. Good	63	51	42	46	31	49
3. Fair	20	8	39	20	8	20
4. Poor	0	8	10	6	8	6
	n=35	n=37	n=31	n=35	n=13	n=151
9. The reorganization has emphasized increasing the skills of staff. I'd like to read a list of areas and ask you to rate the skills of the people who work for you.						
a. Interpersonal skills						
1. Excellent	8	11	15	20	0	12
2. Good	64	62	64	37	86	59
3. Fair	28	24	21	40	14	27
4. Poor	0	3	0	3	0	1
	n=36	n=37	n=33	n=35	n=14	n=155
b. Technical skills related to the employee's job responsibilities						
1. Excellent	33	24	27	31	36	30
2. Good	61	60	67	46	43	57
3. Fair	6	14	6	20	14	12
4. Poor	0	3	0	3	7	2
	n=36	n=37	n=33	n=35	n=14	n=155
c. Knowledge of new programs						
1. Excellent	9	11	12	20	29	14
2. Good	69	68	67	51	57	63
3. Fair	20	22	21	26	14	21
4. Poor	3	0	0	3	0	1
	n=35	n=37	n=33	n=35	n=14	n=154
d. Knowledge of new regulations						
1. Excellent	6	8	21	17	14	13
2. Good	61	75	52	54	50	60
3. Fair	33	11	27	26	36	25
4. Poor	0	6	0	3	0	2
	n=36	n=36	n=33	n=35	n=14	n=154

(continued)

**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
e. Knowledge of information systems						
1. Excellent	11	6	0	11	7	7
2. Good	50	39	59	51	64	51
3. Fair	36	39	22	34	21	32
4. Poor	3	17	19	3	7	10
	n=36	n=36	n=32	n=35	n=14	n=153
10. Generally speaking, how satisfied are you with the current match between your staff's skills and the skills needed to carry out their duties?						
1. Very satisfied	19	19	9	17	14	16
2. Generally satisfied	72	68	72	57	71	68
3. Generally dissatisfied	8	11	19	23	14	15
4. Neither	0	3	0	3	0	1
	n=36	n=37	n=32	n=35	n=14	n=154
11. We are interested in improvements you may have seen in the skills of your staff over the past 2 years. Have they...?						
1. Improved greatly	20	26	8	28	39	23
2. Improved somewhat	63	66	73	53	54	62
3. Improved very little, if at all	17	9	19	19	8	15
	n=35	n=35	n=26	n=32	n=13	n=141
12. Now I have some questions on training. First, we want to know whether you think the training now available is adequate. For each type I read, please tell me whether the training available in this area should be increased, decreased, or stay the same.						

(continued)

**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
a. Courses that help your staff increase interpersonal skills.						
1. Increased	60	54	53	51	29	52
2. Same	31	43	38	46	57	41
3. Decreased	9	3	9	3	14	7
	n=35	n=37	n=32	n=35	n=14	n=153
b. Courses that keep staff up to date on program regulations and changes.						
1. Increased	67	51	79	80	43	67
2. Same	33	46	21	20	57	33
3. Decreased	0	3	0	0	0	1
	n=36	n=37	n=33	n=35	n=14	n=155
c. Courses that train staff to use information systems.						
1. Increased	78	100	91	83	85	88
2. Same	22	0	9	17	15	12
3. Decreased	0	0	0	0	0	0
	n=36	n=36	n=33	n=35	n=13	n=153
d. Courses that teach staff technical skills related to their job responsibilities.						
1. Increased	89	61	72	77	54	73
2. Same	11	36	28	23	46	26
3. Decreased	0	3	0	0	0	1
	n=36	n=36	n=32	n=35	n=13	n=152
13. Now please think about the quality of the training available to you and your staff. Overall, how do you rate the training currently available?						
1. Excellent	0	18	13	6	14	9
2. Good	44	53	44	58	57	50
3. Fair	50	29	41	36	21	38
4. Poor	6	0	3	0	7	3
	n=36	n=34	n=32	n=33	n=14	n=149

(continued)

**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
14. How does the quality of current training at HUD compare to the training available 2 years ago?						
1. Better	63	82	52	75	92	71
2. Same	29	18	35	25	8	25
3. Worse	9	0	14	0	0	5
	n=35	n=34	n=29	n=32	n=13	n=143
15. Next, I have a few questions about information systems at HUD—how well they work for you and your staff and how they have changed, for better or worse, over the last 2 years. HUD's information systems include computer systems for both financial and management information.						
a. How do you rate the accuracy of data in reports that you and your staff get out of HUD's information systems?						
1. Excellent	22	0	25	20	7	16
2. Good	53	32	59	66	21	49
3. Fair	14	49	13	14	43	25
4. Poor	11	19	3	0	29	10
	n=36	n=37	n=32	n=35	n=14	n=154
b. Compared to 2 years ago, would you say the accuracy of data in reports that you and your staff get out of HUD's information systems is...?						
1. Better	39	56	53	94	50	60
2. Same	44	36	38	6	43	32
3. Worse	17	8	9	0	7	9
	n=36	n=36	n=32	n=35	n=14	n=153

(continued)

**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
c. How do you rate the ease of generating reports from the information systems?						
1. Excellent	3	3	6	6	0	4
2. Good	42	15	31	53	36	35
3. Fair	33	41	47	27	21	35
4. Poor	22	41	16	15	43	25
	n=36	n=34	n=32	n=34	n=14	n=150
d. Compared to 2 years ago, is the ease of generating reports from the information systems...?						
1. Better	33	33	38	65	39	42
2. Same	44	64	59	32	54	50
3. Worse	22	3	3	3	8	8
	n=36	n=33	n=32	n=34	n=13	n=148
e. How do you rate the usefulness of information from these systems for monitoring program activities?						
1. Excellent	11	0	12	11	7	8
2. Good	58	22	52	66	29	47
3. Fair	28	53	33	17	29	33
4. Poor	3	25	3	6	36	12
	n=36	n=36	n=33	n=35	n=14	n=154
f. Compared to 2 years ago, is the usefulness of information from these systems for monitoring program activities...?						
1. Better	33	31	30	80	43	44
2. Same	56	63	64	17	57	50
3. Worse	11	6	6	3	0	6
	n=36	n=35	n=33	n=35	n=14	n=153

(continued)

**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
g. How do you rate the usefulness of the information systems when you and your staff need data for job responsibilities other than monitoring?						
1. Excellent	3	0	3	9	0	3
2. Good	61	17	47	60	29	44
3. Fair	28	58	47	26	36	39
4. Poor	8	25	3	6	36	13
	n=36	n=36	n=32	n=35	n=14	n=153
h. Compared to 2 years ago, is the usefulness of the information systems when you and your staff need data for job responsibilities other than monitoring...?						
1. Better	31	44	38	80	46	48
2. Same	58	53	63	17	46	47
3. Worse	11	3	0	3	8	5
	n=36	n=36	n=32	n=35	n=13	n=152
i. How do you rate the systems' ability to share data or interact?						
1. Excellent	7	0	4	0	0	2
2. Good	19	11	21	20	0	16
3. Fair	29	20	32	50	27	32
4. Poor	45	69	43	30	73	50
	n=31	n=35	n=28	n=30	n=11	n=135
j. Compared to 2 years ago, is the systems' ability to share data or interact...?						
1. Better	32	37	39	60	30	41
2. Same	65	57	54	40	60	55
3. Worse	3	6	8	0	10	5
	n=31	n=35	n=26	n=30	n=10	n=132

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**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
16. What is your overall level of satisfaction with the information systems in your area of responsibility?						
1. Very satisfied	0	0	3	3	0	1
2. Generally satisfied	66	36	71	74	39	59
3. Generally dissatisfied	34	44	19	17	39	30
4. Very dissatisfied	0	19	3	6	23	9
5. Neither	0	0	3	0	0	0
	n=35	n=36	n=31	n=35	n=13	n=150
17. One past criticism of HUD was that it lacked adequate internal controls to prevent waste, fraud, and mismanagement. By internal controls, we mean such things as on-site monitoring, supervisory reviews, data verification, and separation of financial duties. I'll be asking you a set of questions about internal controls. As I read each one, please think about the internal controls currently in place in your area of responsibility, both for HUD's customers and for HUD employees.						
a. How would you rate the internal controls in place to protect resources from fraud?						
1. Excellent	11	8	9	11	8	10
2. Good	44	58	58	51	54	53
3. Fair	39	33	24	34	31	33
4. Poor	6	0	9	3	8	5
	n=36	n=36	n=33	n=35	n=13	n=153

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**Appendix II  
GAO Telephone Survey of HUD Field  
Directors With Responses**

Question	Program area (Responses in percent)					Total
	Single-family housing	Multifamily housing	CPD	Public housing	Housing directors	
b. How would you rate the internal controls in place to ensure that resources are used efficiently and effectively?						
1. Excellent	3	8	7	14	21	9
2. Good	61	69	55	57	50	60
3. Fair	33	17	29	23	21	25
4. Poor	3	6	10	6	7	6
	n=36	n=36	n=31	n=35	n=14	n=152
c. How would you rate the internal controls in place to ensure that program goals and objectives are met?						
1. Excellent	28	33	19	14	64	28
2. Good	64	56	48	69	29	57
3. Fair	6	8	23	17	7	13
4. Poor	3	3	10	0	0	3
	n=36	n=36	n=31	n=35	n=14	n=152
d. How would you rate the internal controls in place to ensure that reported data are reliable?						
1. Excellent	11	6	10	11	7	9
2. Good	50	31	37	46	43	41
3. Fair	33	50	40	34	36	39
4. Poor	6	14	13	9	14	11
	n=36	n=36	n=30	n=35	n=14	n=151
e. How would you rate the internal controls in place to ensure that all parties comply with laws and regulations?						
1. Excellent	8	6	7	3	8	6
2. Good	50	58	50	40	54	50
3. Fair	39	33	33	43	31	37
4. Poor	3	3	10	14	8	7
	n=36	n=36	n=30	n=35	n=13	n=150

<sup>a</sup>Throughout the survey, the directors who had held their current position for less than 2 years were asked to discuss only the changes that had occurred since they assumed that position.

<sup>b</sup>"n" is the number of responses. Percentages may not add to 100 due to rounding.

# Major Contributors to This Report

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