

Joint Legislative Audit and Review Commission

The Virginia General Assembly

**Publication
Practices of
Virginia State
Agencies**

**FOLLOW-UP REPORT
OF THE JOINT LEGISLATIVE
AUDIT AND REVIEW COMMISSION ON**

Publication Practices of Virginia State Agencies

**TO THE GOVERNOR AND
THE GENERAL ASSEMBLY OF VIRGINIA**



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Preface

In 1982, JLARC reviewed State agency publications and public relations activities. In accordance with §30-58.2 of the *Code of Virginia*, JLARC directed its staff in October 1989 to conduct a follow-up to the publications portion of the 1982 study. This report presents the findings and recommendations from the follow-up review.

The 1982 JLARC review found that most publications were moderately produced. However, some agencies were found to regularly produce publications which were deemed excessive. The follow-up review found general conditions similar to those existing in 1982. The majority of State agency publications appear to be produced in an appropriate and reasonable fashion. Exceptions still exist, however, and many agencies produce publications using costly paper and multi-color printing. Overall, the State appears to spend more money than necessary on publications.

In addition, the number of State publications and publication expenditures have increased sharply over the past several years. Publication expenditures were found to have increased at a higher rate than the State operating budget over the same time period and should be a cause for concern, especially in light of the State's revenue situation. Recommendations in this report are aimed at ensuring that State agencies better control the number of State publications produced and their associated costs.

When results of this study were reported to JLARC, the Commission requested that additional publication data be collected from agencies. JLARC staff are currently compiling this additional information, including a breakdown of publication costs by fund source and a listing of agencies not maintaining publication cost information as required through the *Code of Virginia*. In addition, I am pleased to report that the Secretary of Administration has recently formed a task force to address the recommendations contained in this report, as well as specific requests for publication information by the Commission. I am also pleased to note that the Department of General Services and the Virginia State Library and Archives support the study recommendations, and have also begun work to correct some of the identified problems.

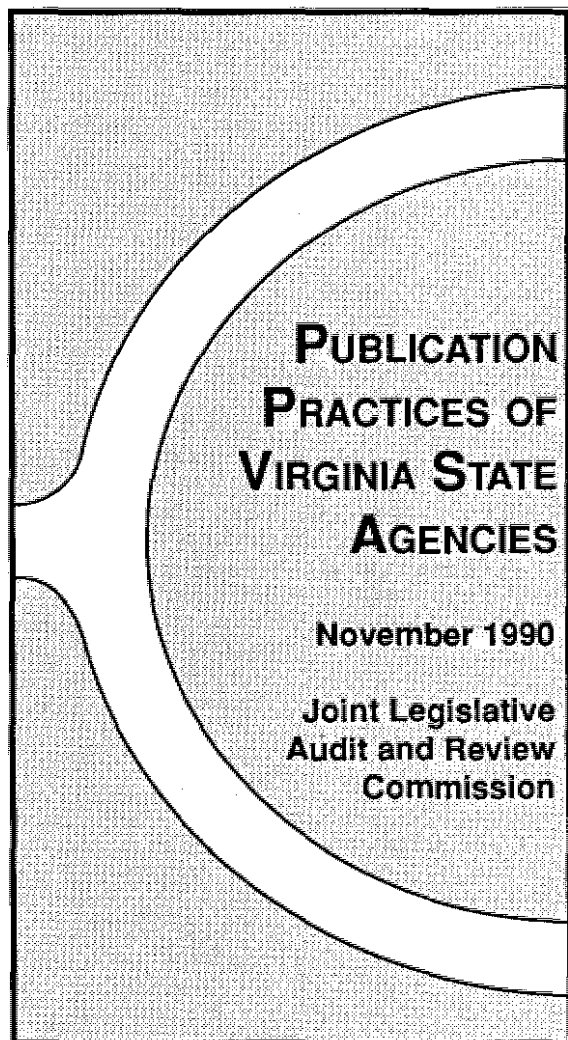
On behalf of the JLARC staff, I would like to thank the Secretary of Administration, the Department of General Services, the Virginia State Library and Archives, and the State agencies from which we collected information for their cooperation and assistance during the course of the study.



Philip A. Leone
Director

November 29, 1990

JLARC Report Summary



Almost all State agencies produce some type of publication. Publications range from one-page brochures to hard-bound documents of several hundred pages. Most State agencies have discretion as to the type and number of publications they issue as well as the format in which the publications are produced.

In 1982, the Joint Legislative Audit and Review Commission (JLARC) reviewed State agency publication practices and found that most publications were moderately produced. Some agencies, however,

issued publications which were "excessive" and therefore more costly than necessary. This follow-up review found similar general conditions. In addition, the number and cost of State agency publications has increased substantially over the last several years.

Between FY 1979 and FY 1989, the number of publications issued annually more than doubled. During the same time period, publication costs increased sharply — by 231 percent. In FY 1979, State agencies produced 2,712 publications with a printing cost of over \$4 million. In FY 1989, 5,779 publications were issued at a cost of over \$13.3 million. This rate of growth in publication expenditures is more than one and one-half times the rate of increase in the State operating budget over the same time period.

Though actions have been taken since the 1982 JLARC review to address some problems related to agency publications, additional steps are necessary to ensure that State agencies produce publications in the most economical manner possible. Particularly in light of recent State budget concerns, agencies need to review their publication activities with the intent of eliminating unnecessary publications and reducing the use of special technical processes which increase publication costs. All agencies should comply with guidelines and requirements issued by the Department of General Services (DGS) when producing publications. Attention should also be directed toward strengthening the oversight of publication activities by agency heads, the Virginia State Library, and DGS.

This report summary briefly discusses the major study findings and recommendations. Detailed explanations are included in the text of the report.

Indicators Suggest that the State May Spend Excessive Amounts on Publications

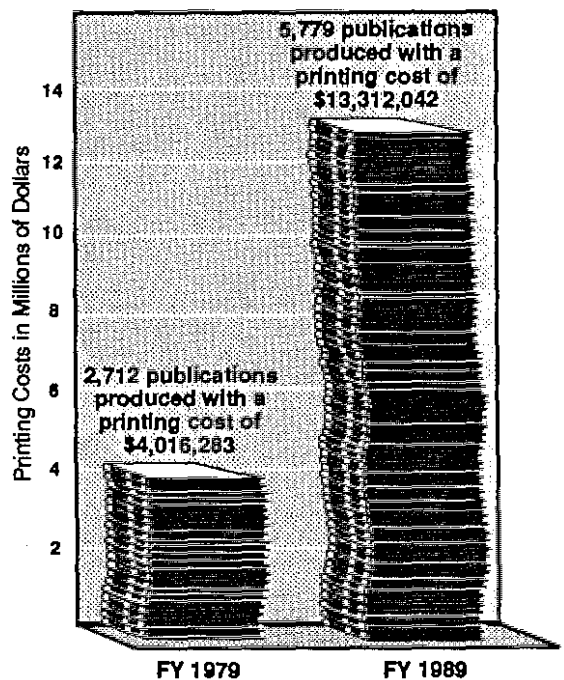
The number and cost of State publications has increased significantly over the past decade. The increase in the total cost of State publications is largely due to the overall increase in the number of publications produced. However, there has also been an increase in the number of higher-cost reports generated. Though a comprehensive, publication-by-publication review to assess the reasonableness of each agency's publication expenditures was not conducted by JLARC, several analyses indicate that the State may be spending excessive amounts on publications. These analyses show that:

- The number of expensive publications has increased.
- A significant number of publications are printed on expensive paper stock.
- The number of multi-color publications has increased.
- Some agencies produce high cost-per-copy publications which do not appear justifiable.
- Some publications are produced in very large quantities.

The following recommendation is made:

- As part of Project Streamline, each Governor's Secretary should direct his or her agencies to undertake an assessment of their publication needs and practices, and identify opportunities for cost savings. Particular attention should be focused on agencies with high publication expenditures, high cost-per-copy pub-

Increase in the Number and Cost of State Publications FY 1979 to FY 1989



Source: JLARC staff analysis.

lications, and large quantities of publications. Each Secretary should set a target figure for publication savings to be achieved by the agencies within his or her secretarial area over the biennium. Although no hard and fast evidence exists to support a particular target amount, a combined \$1 million target for all agencies over the biennium would appear reasonable given the recent rapid growth in the number and cost of State publications.

Lack of Compliance With Requirements Adds to the Cost of State Publications

State agencies must make decisions in four primary areas when producing publications: Identification of the need for the publication, design, printing, and distribu-

tion. DGS' Division of Purchases and Supply (DGS/DPS) issues guidelines for agencies to follow in producing publications. These guidelines help agencies identify the most economical method of designing and printing publications. In addition, the *Code of Virginia* details certain distribution practices meant to keep costs associated with publication distribution at a minimum. Non-compliance with the DGS/DPS guidelines and *Code* requirements typically results in increased publication costs.

Four major problems were identified with the production of publications by State agencies. First, agencies seldom conduct needs assessments to analyze the need for all their publications. Second, for publications designed out-of-house, some agencies do not request the services of DGS' Office of Graphic Communications, as required. Third, review of State agency publications identified many publications which were printed using high cost features, such as multiple ink colors and glossy or textured paper. Fourth, distribution practices identified in the *Code of Virginia* are not being adequately followed, resulting in increased distribution costs.

The following recommendations are made:

- DGS/DPS should clarify section 6.7 of the *Agency Procurement and Surplus Property Manual* by specifying that all agencies, when planning to use a private firm for design services estimated to cost over \$750, must first contact the Office of Graphic Communications.
- DGS/DPS should follow up with agencies having promotional mandates to ensure that those agencies procure design services through the Office of Graphic Communications as required. DGS/DPS should document non-compliance and request a

written agency response as to how the problem will be corrected.

- The Secretary of Administration, with assistance from DGS, should develop suggested guidelines to be used by executive branch agencies when conducting needs assessments of agency publications.
- The Secretary of Administration should attach a cover letter to the next DGS/DPS distribution survey directing agencies to (1) respond to the survey, and (2) unless otherwise directed by law, limit their distribution of publications to individuals specifically requesting them.
- Agency heads should ensure that the results of the DGS/DPS distribution survey are disseminated to their agency publication managers or other staff members responsible for compiling publication mailing lists.
- The General Assembly may wish to amend §2.1-467 B of the *Code of Virginia* to allow legislators and agency heads to more specifically designate the publications they wish to receive from State agencies. DGS/DPS should revise the instructions on the publication distribution survey in accordance with the revised statutory provisions.
- When mailing publications, agencies should use fourth class postage whenever possible.

Agency Oversight Needs Strengthening

Each State agency is responsible for overseeing its publications. As part of this oversight, the *Code of Virginia* requires agencies to maintain records on the cost of

printing and distributing all agency publications. Maintenance of these records enables agency management to systematically examine the publication activities of the agency.

Many agencies have not developed a process to gather agency-wide cost information on publications. Agency management, therefore, may not know the total amount of agency resources being spent on publications. The result is non-compliance with the *Code of Virginia* as well as inadequate oversight on the part of agency management.

The following recommendation is made:

- The Directors of all State agencies should comply with the *Code of Virginia* requirement to maintain cost information for all publications. Publication information should be recorded by an agency at the time each publication is produced. For agencies with decentralized publication processes, each division should be required to report publication cost data to a designated office, such as the administration, procurement, or public information office, to expedite annual reporting to the VSL and oversight by agency management.

Virginia State Library Publication Requirements Need Clarification

The Virginia State Library (VSL) performs three primary oversight activities related to State agency publications. First, the VSL annually collects information on the cost and quantity of publications produced by each State agency. Second, the VSL serves as the official depository for State publications and oversees the statewide depository system. Third, the VSL annually publishes a listing of State publications available to the public. Problems were identified with two of these activities.

First, confusion exists among agencies as to the publication information annually requested by the VSL, resulting in inconsistent reporting of this information. In addition, the VSL does not adequately follow-up with agencies providing no or incomplete information.

Second, the VSL does not provide agencies with a clear definition of the publications which should be sent to the library for the statewide depository system. Again, this results in inconsistencies in terms of which agency publications are sent to the VSL.

The following recommendations are made:

- The General Assembly may wish to amend §2.1-467.1 of the *Code of Virginia* to more specifically define publications for which cost data are to be maintained by agencies and furnished to the VSL. The revised definition should generally include written documents which provide information to the reader, are used by entities outside the agency, and for which at least 50 copies are printed or reproduced, in any way, by or for a State agency in full or in part at State expense. Types of documents which may meet the definition include but are not limited to: reports, catalogues, regulations, technical manuals, employee and other newsletters, brochures, booklets, and posters. The definition should exclude documents which meet both of the following criteria: documents which are specifically restricted to use by an individual agency's staff and which apply only to the agency's administrative operations. Further, documents which are prepared for distribution to only a limited number of individuals named on the written document should be excluded.

Types of documents to be excluded are: letters, memoranda, forms, invitations, surveys, press releases, and meeting agendas.

- The VSL should clarify the instructions for completing the "Agency Record of Publications" form.
- The General Assembly may wish to eliminate the requirement for inventory information in the *Code of Virginia* by amending §2.1-467.5 to read: "The State Librarian shall compile an annual listing of all publications produced by each state agency during each fiscal year, to include the number of each publication printed, and the costs of printing and distributing each publication."
- The VSL should include all State agencies on its mailing list when it distributes the "Agency Record of Publications" form.
- The VSL should continue to follow-up with agencies that do not return the "Agency Record of Publications" form. After all non-responding agencies have been contacted at least once with a request to return the form, the VSL should compile a list of all agencies in each secretariat which have not returned forms or have returned incomplete forms and send this list to the appropriate Secretary. The Secretary should then direct each agency to comply with the request.
- The Virginia State Librarian, with assistance from the 13 depository libraries, should develop a clear written description of the types of State publications which agencies should send to the VSL under the provi-

sions of §2.1-467.2 of the *Code of Virginia*. The State Librarian should then seek an amendment to §2.1-467.2 of the *Code* to incorporate this clarifying description.

Division of Purchases and Supply Practices Should Be Clarified

DGS/DPS oversees the procurement of printing by State agencies, and issues guidelines for agencies to follow in producing publications. Since the 1982 JLARC publications study, DGS/DPS has improved its oversight of State agency publications and printing activities by strengthening and clarifying its printing guidelines, increasing its training of agency procurement personnel, and helping to increase the amount of printing work being conducted by the Department of Corrections' print shop. However, DGS/DPS needs to further clarify its guidelines to reflect current DGS/DPS practices, and increase agencies' understanding of printing practices.

The following recommendations are made:

- DGS/DPS should clarify the guidelines in the *Agency Procurement and Surplus Property Manual* to reflect its current practices. Section 6.15 b of the manual should be amended to state that: "All requests for multi-color printing of publications not meeting the definition of "promotional publication," as defined in 6.15 a, must be accompanied by a letter of justification signed by the agency head or his designee. If the letter of justification is signed by an agency head designee, the agency head is still responsible for the decision to print using multiple colors of ink."
- DGS/DPS should develop a reference guide for State agencies to use in developing publications. The guide

should include discussions of publication preparation, printing, and distribution and how the costs associated with each can be minimized. The reference guide should be distributed to all State agencies in conjunction with DGS/DPS' training program.

Emphasis on Recycling Has Increased, But State Agency Participation Is Inconsistent

Attention should also be directed toward State agency recycling efforts. In the area of publications, recycling involves two aspects: using recycled paper to print publications, and recycling publications

which are no longer useful. Although the use of recycled paper and the number of paper recycling programs has increased, available information indicates that the majority of agencies still do not consistently participate in recycling activities.

The following recommendation is made:

- The Department of Waste Management should work with DGS to amend the *Agency Procurement and Surplus Property Manual* to facilitate the use of recycled paper and incorporate recycling-related considerations into the publication and printing guidelines.

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Chapter I: Introduction

A 1982 Joint Legislative Audit and Review Commission (JLARC) review of State agency publication practices found that "for the most part, agency publications...activities are appropriate and low key.... Exceptions were found, however, and several agencies regularly produce publications which fall outside the realm of general acceptability." Further, the study made a series of recommendations directed toward strengthening State publication guidelines as well as oversight of the publication process.

This follow-up review to JLARC's initial publications study found similar general conditions. The majority of State agency publications appear to be produced in an appropriate and reasonable fashion. Exceptions still exist, however. In addition, the number of publications and publication expenditures appear to have increased significantly over the years.

Compared to ten years ago, the number of publications issued annually by State agencies has more than doubled. Over the same time period, publication costs have increased by 231 percent. During FY 1979, State agencies produced 2,712 publications with an associated printing cost of \$4,016,283. In FY 1989, the number of publications produced increased to 5,779, and the cost to print these publications was \$13,312,042.

This rate of growth in publication expenditures is more than one and one-half times the rate of increase in the State operating budget over the same time period. The striking increase in publication costs should be a cause for concern, especially in light of the State's financial problems.

Actions are necessary in several areas to better control the number of State agency publications and their associated costs. Agencies should strictly comply with State guidelines regarding the use of special technical processes, multiple colors of ink, and other activities. More agencies need to assess the need for publications that are produced, looking for more cost effective ways to communicate information and eliminating publications that appear unnecessary. One outcome of Project Streamline, an effort currently underway within the executive branch to improve the operational efficiency of State government, should be to target reductions in publication and distribution costs statewide by at least \$1 million during the 1990-92 biennium. And responsible oversight, on the part of agency heads as well as the Department of General Services and the Virginia State Library, should be strengthened.

This chapter describes the major findings and recommendations from the 1982 JLARC study of State agency publications and describes action taken in response to the recommendations. The study objectives and approach for the 1990 study are also presented, as well as a general description of the organization of this report.

1982 JLARC REVIEW OF STATE PUBLICATIONS

The 1982 JLARC review found that most State agency publications appeared to be consistent with agency goals and were conservatively produced. However, some agencies did produce publications which appeared to be "excessive," and several problems were identified concerning State agency publication practices.

To address these problems and to strengthen oversight of the publication process, the 1982 JLARC report recommended that several actions be taken by the Secretary of Administration and Finance, the Division of Purchases and Supply within the Department of General Services, and the Virginia State Library. (Note: The Administration and Finance Secretariat was divided into two separate secretariats in 1984.)

The Department of General Services' Division of Purchases and Supply (DGS/DPS) has largely complied with the recommendations. Recommendations involving the Secretary and the Virginia State Library (VSL), however, have not been fully implemented, resulting in continued problems with State publication practices.

1982 Study Findings

The 1982 study found that the magnitude and cost of State publications were substantial. Though agencies were found to produce a large number of publications, very few assessments were being conducted to identify the need for publications. In addition, many legislators and agency heads were receiving unwanted reports, resulting in substantial overdistribution of State agency publications and hence unnecessary cost to the State.

Shortcomings with publication guidelines and oversight of the publication process were also identified. Publication guidelines issued by DGS/DPS needed to be strengthened and clarified. Some agencies were found to exceed the DGS/DPS guidelines, most frequently by producing multiple-color publications. In addition, the study noted deficiencies in agencies' publication records as compiled by the VSL. Problems were also identified with the oversight of private sector printers and State agency print shops by DGS/DPS. Finally, the study recommended the modification or elimination of 280 State publications.

Actions Taken Subsequent to the 1982 Study












Follow-up of the 1982 study recommendations revealed that some corrective action has been taken to alleviate problems with State agency publication practices (Table 1). As a result of the JLARC study, the need for all mandated annual and biennial reports was reviewed and a number of mandates were eliminated. Additional changes to the *Code of Virginia* were enacted to help reduce the number of unsolicited publications issued to legislators and agency heads.

Table 1

Status of Major Recommendations from the 1982 JLARC Publications Study		
Key: ✓ Significant Progress ○ Some Progress ✕ No Progress		
Findings and Recommendations From 1982 Study	Progress Since 1982	Further Corrective Action Needed
<p><i>Finding: Few needs assessments of publications being conducted</i></p> <p>Recommendations:</p> <ul style="list-style-type: none"> • Secretary of Administration and Finance (SA&F) should review necessity of annual report mandates. • General Assembly and Governor should consider mandating biennial rather than annual reports and specify agencies exempt from biennial reports. • SA&F should ensure that agencies conduct needs assessments of their publications. • SA&F should recommend guidelines concerning annual report content, format, length, and expense. 	<p>✓</p> <p>✓</p> <p>✕</p> <p>○</p>	<p>NO</p> <p>NO</p> <p>YES</p> <p>YES</p>
<p><i>Finding: Substantial overdistribution of annual and other reports</i></p> <p>Recommendations:</p> <ul style="list-style-type: none"> • Department of General Services' Division of Purchases and Supply (DGS/DPS) should survey legislators and agency heads to determine report distribution. • DGS/DPS should develop guidelines to assist agencies in their distribution practices. 	<p>✓</p> <p>✕</p>	<p>YES</p> <p>YES</p>
<p><i>Finding: Some agency publications exceed DGS/DPS guidelines</i></p> <p>Recommendation:</p> <ul style="list-style-type: none"> • DGS/DPS should strengthen and clarify publication guidelines. 	<p>✓</p>	<p>YES</p>

(Table continues, next page)

Table 1 (Continued)

Status of Major Recommendations from the 1982 JLARC Publications Study		
Key:  Significant Progress  Some Progress  No Progress		
Findings and Recommendations From 1982 Study	Progress Since 1982	Further Corrective Action Needed
<i>Finding: Problems identified with printers and print shops</i> Recommendations: <ul style="list-style-type: none"> • DGS/DPS should intensify efforts in qualifying printing bidders. • Agencies should follow through on complaints with printers and formally document problems. • DGS/DPS should define complaint procedures in agency procurement manual. • DGS/DPS should analyze efficiency and appropriateness of agency print shops periodically. • Department of Corrections (DOC) and DGS/DPS should intensify efforts to route more State printing to DOC. 	    	NO NO NO NO NO
<i>Finding: Deficiencies in publication records and depository procedures noted</i> Recommendations: <ul style="list-style-type: none"> • Virginia State Library (VSL) should follow-up with non-complying agencies. • VSL should notify the appropriate secretary of non-complying agencies. • VSL should clarify what kinds of publications it wants to receive and the quantity thereof. 	  	YES YES YES

Source: JLARC staff analysis.

In addition, DGS/DPS has taken action to correct problems identified in the 1982 study. The division strengthened and clarified its publication guidelines and strengthened its oversight of printing bidders and State print shops. Substantial efforts have also been taken by DGS/DPS to route more State printing to the Department of Corrections print shop. Further, the division has increased its training of State agency personnel regarding printing procurement to enhance agencies' understanding of the publication guidelines.

These changes have corrected some problems noted in the 1982 report. However, as indicated by both Table 1 and the following chapters of this report, additional actions regarding State agency publications are still necessary.

1990 JLARC REVIEW

In October 1989, the Joint Legislative Audit and Review Commission directed the JLARC staff to conduct a follow-up review of the publications portion of its 1982 study, *Publications and Public Relations of State Agencies in Virginia*. The follow-up study examined the major issues covered in the 1982 publications study.

Study Objectives

The primary objectives of the follow-up study were to:

- determine the extent to which publications are produced by State agencies and at what cost to the State,
- determine agencies' compliance with publication guidelines, and
- examine the adequacy of the current oversight structure.

In examining these issues, attention was focused on the implementation status of JLARC recommendations from the 1982 study.

As indicated by the study objectives, the study generally focused on guidelines, cost, oversight, and compliance. The study did not comprehensively assess the need for or specific content of individual publications. The large number of publications produced by agencies prohibited that level of analysis in most instances.

Study Approach

Because this study was a follow-up effort, several considerations from the original study influenced the scope and approach of this review. These considerations

relate to the definition of State publications, treatment of federally and privately funded publications, and emphasis on the executive branch.

In analyzing the current status of agency publications, the following definition of "State publications" was used:

all non-confidential printed communications, other than letters and memoranda, which are printed or reproduced in any way and published or issued by or for a State agency in full or in part at State expense.

This definition for State publications is the same as that used in the 1982 JLARC publications study. It is generally consistent with the broad definition of publications presented in §2.1-467.2 of the *Code of Virginia*. Unlike the *Code* definition, however, letters and memoranda are explicitly excluded in the JLARC definition.

Based on this definition, publications which were identified as solely federally and/or privately funded were excluded from analysis. In addition, since the original study primarily focused on the executive branch and the large majority of State publications continue to be issued by the executive branch, analyses of publications and their cost throughout the remainder of the report focus on the executive branch. Publications of the three independent agencies — the State Corporation Commission, the Department of Workers' Compensation, and the State Lottery Department — are also included in the analyses.

Research Activities

To address the study objectives, several research activities were conducted. Major research activities included analysis of VSL records of publications produced by State agencies, telephone contacts with State agencies to collect information missing from the State library records, a review of printing bid files at DGS/DPS, a survey of all State publications received by the VSL during a three-month period, and assessments of ten case study agencies.

Analysis of VSL Records. The VSL annually compiles information on the publications produced by each State agency during the preceeding fiscal year. Publication information is submitted by each agency on an "Agency Record of Publications" form. These forms were the basis for identifying the number of publications produced by State agencies and the cost of these publications for fiscal years 1988 and 1989.

Follow-up Contacts With State Agencies. The VSL did not have complete publication information from all State agencies. As a result, extensive follow-up with some State agencies was necessary to collect complete information on all State publications. A total of 132 agencies were contacted to obtain either missing forms or missing information from the forms submitted to the VSL.

Analysis of Printing Bid Files at DGS/DPS. DGS/DPS maintains records on all State agency print jobs procured through the division. All bids on a printing job, the specifications of the printing job, and the job's purchase order are maintained. JLARC staff reviewed the bid specifications and purchase orders for the printing of all publications procured by DGS/DPS during calendar year 1989. Through this review, JLARC staff identified expensive State publications and publications which did not comply with DGS/DPS guidelines.

Survey of State Publications Received by the VSL. State agencies are required to provide copies of all their publications to the VSL. JLARC staff reviewed these publications on a daily basis as they were received by the library and recorded specific information describing each publication. This activity served several purposes:

- to familiarize JLARC with the wide range of State publications;
- to identify publications which demonstrate proper economy and effectiveness;
- to identify publications that are out of compliance with guidelines; and
- to provide a cross check for information received from other sources.

Over 500 issues of 320 different State publications were reviewed during a three-month period starting January 24, 1990.

Case Study Interviews. Ten case study agencies were selected for in-depth interviews concerning each agency's publication practices. Agencies were selected as case studies through a two-step process. Agencies which had high publication expenditures, relative to other State agencies, were first identified. A variety of criteria were then used to select the final ten case studies, including: largest percentage increase in publication expenditures from FY 1988 to FY 1989, largest percentage decrease in publication expenditures from FY 1988 to FY 1989, highest expenditures for design work performed by the Department of General Services' Office of Graphic Communications, largest number of "high cost" publications, highest average cost per publication, desktop publishing capabilities, and non-respondents to the VSL request for completion of the "Agency Record of Publications" form.

Topics addressed during the interviews included: policies and procedures governing publications; purpose, use, and perceived need for selected publications; compliance with DGS/DPS guidelines; agency expenditures for publications; staffing for publications; methods of report distribution; desktop publishing capabilities; and print shop operations, if applicable.

Report Organization

Chapter I has presented an overview of the 1982 JLARC publications study findings as well as a description of the current study approach. Chapter II describes the magnitude and cost of State agency publications. Chapter III provides discussion on areas in which potential cost savings in producing publications could be achieved. Chapter IV discusses the oversight structure for State publications and identifies areas needing improvement.

Chapter II: Magnitude and Cost of State Publications

Since the initial JLARC study of State agency publications, there has been a substantial increase in the number of publications produced by State agencies. Likewise, the cost to print these publications has increased substantially.

The increase in the total cost of State publications is largely due to the overall increase in the number of publications produced. However, there has also been an increase in the number of higher-cost reports generated. While there is reasonable justification for the costliness of some publications, other publications incurred excessive design costs or were designed in such a way as to unnecessarily require special, and high cost, printing techniques.

Agencies, with the direction and assistance of the Governor's Secretaries, should undertake detailed assessments of their publications to eliminate unnecessary ones and reduce cost where possible. Agencies with large publication expenditures, or producing large quantities, should be scrutinized especially closely, since the potential for cost savings is more likely in these agencies. A target figure, possibly in the \$1 million range, should be set for the biennium as a goal for achieving reduced expenditures for publications.

Current Publication Efforts of State Agencies

In FY 1979, State agencies spent approximately \$4 million to print publications (Table 2). By FY 1989, agency expenditures for publications had grown to over \$13 million. The growth rate for publication expenditures is more than one and one-half times the rate of increase in the State operating budget for the same time period.

The increase in the total cost of State publications can primarily be attributed to individual agencies producing more publications. For example, in FY 1979 the Department of Highways and Transportation issued 25 publications. This number increased to 70 in FY 1989. Radford University produced 105 publications in FY 1979 and 280 in FY 1989. The definition of publication has remained the same during this time period. As will be explained later in the chapter, the number of expensive publications has increased since 1982, also contributing to the increased cost.

Components of Cost

The primary cost associated with publications is the cost for printing. However, there are other costs incurred in producing publications which significantly increase the actual amount spent by agencies when they produce publications. These costs include expenditures for design and distribution. In addition, many agencies have

Table 2

State Agency Publication Costs*
(FYs 1979, 1980, 1988, 1989)

	<u>FY 1979</u>	<u>FY 1980</u>	<u>FY 1988</u>	<u>FY 1989</u>
Number of Publications	2,712	3,547	5,599	5,779
Printing Cost	\$4,016,283	\$4,789,892	\$10,379,278	\$13,312,042

*Costs reflect expenditures for the printing of publications. Comprehensive information is not available on additional costs involved in producing publications, such as design cost.

Source: 1982 JLARC study of State agency publications, "Agency Record of Publications" forms obtained from the Virginia State Library for fiscal years 1988 and 1989, and follow-up conducted by JLARC staff for fiscal year 1988 and 1989 data.

staff positions devoted to publications-related activities, further adding to the total cost of publication production.

State agencies are required by the Virginia State Library (VSL) to report annually the cost to print each publication issued during the previous fiscal year. Agencies are also required to report the cost associated with distributing each publication. However, in many cases agencies do not maintain records on distribution cost, and therefore, do not report this information. Of the 140 State agencies which produced publications in FY 1989, only 60 submitted to the VSL, or JLARC during follow-up efforts, what appeared to be comprehensive data on distribution cost.

Information from agencies reporting distribution expenditures shows that this cost can add significantly to the total expense of a publication. For example:

The Virginia Retirement System issued a Memo to Retirees twice during FY 1989 at a total printing cost of \$5,880. The cost to distribute this publication in FY 1989 was \$6,500 — more than the cost to print the publication.

A total of \$1.4 million was identified by those agencies reporting distribution expenditures in FY 1989.

No comprehensive information is collected or readily available on the design cost associated with the production of publications or on the total staff cost associated with publications in each agency. However, cost data collected for selected publications and agencies indicate the impact of these costs on overall agency expenditures for publications.

The Department of the Treasury is mandated to issue an annual report. The Annual Report for the fiscal year ending June 30, 1989, cost \$16,471 to print. An additional \$10,517 was spent designing the publication.

* * *

The Department of Planning and Budget has three staff positions directly involved in publication production, including a publications manager and two graphic designers. Total anticipated salary costs for these three positions are approximately \$98,000 for FY 1991. When not preparing publications, these individuals are responsible for preparing presentation materials.

Publication costs shown in this report are therefore a conservative estimate of the true cost to the State for this activity. If all the costs incurred in the production of State agency publications were taken into account, publications would be shown to cost the State substantially more than the \$23.7 million reported for printing publications in fiscal years 1988 and 1989.

Executive Branch and Independent Agency Publications

Over 90 percent of State publication expenditures during fiscal years 1988 and 1989 were incurred by the executive branch and the three independent agencies. Within the executive branch, educational institutions are the primary producers of publications. Figure 1 provides a breakdown of the executive branch publication costs by secretarial area and also shows the independent agency cost.

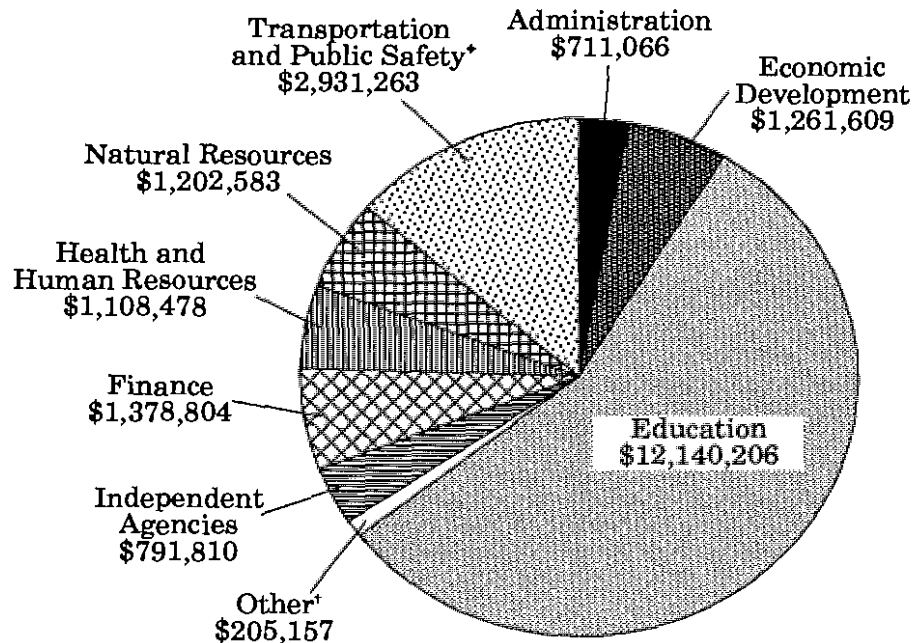
Over 50 percent of the publication printing costs of executive branch and independent agencies can be accounted for through ten agencies (Table 3). Five of these agencies are institutions of higher education. Seven of the agencies were also identified as having the highest expenditures for publications in the 1982 JLARC study.

The number of publications produced by each of these agencies varies dramatically. For example, Virginia Polytechnic Institute and State University produced 1,633 publications in FY 1989 at a cost of \$1,260,029 — an average cost of \$772 per publication. The Department of Motor Vehicles produced 41 publications for \$533,649 — an average cost of \$13,016 per publication. Much of this variance in average cost is attributable to the quantity of each publication printed. Some agencies, such as the Department of Motor Vehicles and the Department of Taxation, have large audiences, while a university often has a much smaller audience for its publications, and thus the quantity printed of each publication would be less.

High total publication expenditures on the part of an agency do not necessarily indicate that the agency is spending inappropriate amounts on publications. Many

Figure 1

Executive Branch* and Independent Agency Publication Costs** FYs 1988 and 1989



Totals:	
FY 88 =	\$ 9,316,015
FY 89 =	12,414,961
	\$21,730,976

* Costs are shown by secretarial area.

** Costs reflect printing expenditures only. Comprehensive information is not available on additional costs involved in producing publications, such as design cost.

† "Other" includes the Secretary of the Commonwealth, Liaison Office, and Attorney General's Office.

* Transportation and Public Safety were separated into individual secretariats April 1, 1990. Because the functional areas were merged within one secretariat for the review period, expenditures for the merged secretariat are shown here.

Source: JLARC analysis of "Agency Record of Publications" forms obtained from the Virginia State Library, and follow-up conducted by JLARC staff.

agencies, as part of their mission, are charged with providing information to the public or promoting a State program. Some agencies are required to produce specific types of publications which are generally costly to print. For example, the Department of Transportation produces highway maps which often necessitate extensive design work and the use of multiple colors in printing, thus adding to their expense. Therefore, the

Table 3

**Executive Branch and Independent Agencies
with Highest Expenditures for Printing of Publications
FY 1989**

<u>Agency</u>	<u>Printing Cost</u>	<u>Number of Publications</u>	<u>Types of Publications</u>
Virginia Polytechnic Institute and State University*	\$1,260,029	1,633	Catalogs, schedules, research reports, recruitment brochures, cooperative extension information guides
University of Virginia*+	934,931	676	Catalogs, schedules, research reports, recruitment brochures
Department of Transportation*	896,863	70	Plans, maps, statistical reports
Virginia Commonwealth University*+	788,412**	N/A	Catalogs, schedules, research reports, recruitment brochures, magazines
Department of Taxation***	540,448	50	Tax information booklets, statistical reports
Department of Motor Vehicles*	533,649	41	Drivers manuals, safety brochures
Northern Virginia Community College*	532,846	50	Catalogs, schedules, recruitment brochures
State Lottery Department	519,476	24	Informational brochures and guides
Department of Education*	337,369	89	Plans, handbooks, program brochures
College of William and Mary	<u>322,640</u>	31	Catalogs, schedules, recruitment brochures
TOTAL	\$6,666,663		

*Agency was also identified as one of top ten agencies with high expenditures in FY 1981.

**Based on publication printing jobs purchased through the Department of General Services' Division of Purchases and Supply in calendar year 1989.

***Figures do not include separate tax forms. Instructional tax booklets are included.

+Figures reported may not include publications produced by all departments within the university and therefore may be conservative.

N/A: Not available; accurate figure could not be determined.

Source: JLARC analysis of "Agency Record of Publications" forms obtained from the Virginia State Library, follow-up conducted by JLARC staff, review of printing bid files at the Department of General Services' Division of Purchases and Supply, and JLARC case study data.

issuance of publications, sometimes specific types of publications, can be an integral part of an agency's mission. However, these agencies may be appropriate candidates for self assessment and instituting cost savings measures where possible, since these measures would potentially have the greatest impact on the State's overall publication spending.

Indicators Suggest that the State May Spend Excessive Amounts on Publications

The significant increase in the cost and number of State publications over the past ten years leads to questions regarding whether this increase has been excessive. A comprehensive, publication-by-publication review was not conducted by JLARC to assess the reasonableness of agency expenditures for publications. However, several analyses indicate that the State may be spending excessive amounts on publications. These analyses show that:

- The number of expensive publications has increased.
- A significant number of publications are printed on expensive paper stock.
- The number of multi-color publications has increased.
- Some agencies produce high cost-per-copy publications which do not appear justifiable.
- Some publications are produced in very large quantities.

The Number of Expensive Publications Has Increased. Examination of cost data from FY 1982 and FY 1989 revealed that there has been an increase in the number of higher-cost reports printed. In FY 1982, State agencies produced 94 publications which cost at least \$10,000 each to print. In FY 1989, the number of publications which cost at least \$10,000 to print rose to 230 — a 145 percent increase since FY 1982 (Appendix A).

Analysis of inflationary trends indicates that inflation, which totalled 29 percent between 1982 and 1989, accounts for only a portion of the publication cost increase. Agencies are actually producing a greater quantity of higher-cost publications, which in part contributes to the greater rate of increase in cost over the last several years relative to the number of publications issued.

A Significant Number of Publications Use Expensive Paper Stock. Expensive types of paper were used in numerous publications reviewed during the JLARC daily survey of publications received by the VSL. The survey was conducted for a three-month period. Of the 320 publications reviewed, 105 (approximately 33 percent) of the publications used glossy, textured, or extra-heavy paper for the text. In addition,

approximately 30 percent of the publications reviewed were printed in two or more colors. Most of these publications were not for promotional purposes.

The Number of Multi-Color Publications Has Increased. A substantial proportion of recent State publications have used multiple colors of ink in their production. JLARC staff reviewed the bid specifications of publications procured through the Department of General Services' Division of Purchases and Supply (DGS/DPS) during calendar year 1989. Out of the 592 executive branch and independent agency publications procured, 211 used three or more colors in their printing, and another 201 used two-color printing. Multi-color printing was used, therefore, in a total of 70 percent of the publication print jobs procured through DGS/DPS during calendar year 1989.

Based on the bid file review, agencies within the Education and Transportation and Public Safety Secretariats tended to use color the most frequently in their publications. Agencies within the Health and Human Resources and Finance Secretariats used multi-color printing the least frequently.

Some Agencies Produce High Cost-per-Copy Publications. Analysis of individual publication costs revealed a wide range in the cost per copy to produce State publications. Some publications cost only a few cents per copy to produce, while one State publication costs \$85 per copy to produce. There appears to be reasonable justification for the costliness of some publications. And for other publications, such as reprints of the *Code of Virginia*, the cost of producing the publication is virtually beyond the control of the agency. However, others could have been produced at substantially less cost through better planning or the use of less extravagant features.






The cost-per-copy analysis indicated that 18 of the 6,138 publications produced by State agencies over an 18-month timeframe starting July 1, 1988 could be classified as very "high-cost" publications (Table 4). These 18 publications were issued by 11 agencies. Publications were identified as high-cost by examining the total cost to print each publication divided by the total number of copies printed. Once the most expensive publications – those costing over \$15 per copy to print – were identified, follow-up was conducted to determine the additional costs associated with producing these publications, and a visual examination of the publications was performed.

The High Cost Per Copy of 12 Publications Appeared Justifiable. The high cost per copy appeared justifiable or reasonable for 12 of the 18 high cost publications. Factors such as the overall number of pages in the document or the use of maps, which often require more than one color of ink, cause the cost per copy for some publications to be high.

The Virginia Employment Commission (VEC) produces the Precedent Decision Manual which is a current and complete body of unemployment insurance (UI) case law in Virginia. This manual is used by UI benefit claims adjudicators as a guide in decision making, and by other parties for a number of purposes. The agency prints no more than 40 manuals per year. One printing run in FY 1990 produced 30


Table 4

High Cost-per-Copy Publications (July 1, 1988 to December 31, 1989)

Publication Name (Agency)	Cost Per Copy	Publication Costs			Total Cost	Quantity Printed	Number of Pages	Number of Ink Colors	Cost Appears Excessive	Comments
		Design*	Printing	Distribution						
Highway Laws of Virginia 1988 (VDOT)	\$85.75	+	\$42,875 ■	\$0	\$42,875	500	829	1		
2010 Statewide Highway Plan Books (VDOT)*	52.97	*	143,030	*	143,030	2700	1,005	4		three-color cover not warranted; inefficient use of paper —single-sided, very wide margins on pages
Annual Financial Report 1989 (DOA)	39.07	\$36,304	24,833	1,375	62,512	1,600	179	2		excessive design costs, due in particular to late alterations; unnecessary pages; embossed cover
Annual Report 1987 (SCC)	38.72	3,844	3,794	105	7,743	200	466	1		
Virginia Outdoors Plan (DCR)	31.02	17,034	25,980	4,006	47,020	1516	289	4		full-color cover not warranted
Highway Laws of Virginia 1989 Suppl. (VDOT)	27.60	+	13,800 ■	0	13,800	500	238	1		
Annual Report 1989 (Treasury)	27.51	10,517	16,471	522	27,510	1,000	80	2		excessive use of special techniques: multiple ink colors, variable paper types and thicknesses, die cut, embossing, selected pages specially trimmed and inked
Precedent Decision Manual (VEC)	26.73	0	802	*	802	30	1,200	1		
Leading the Way: 88-90 Amendments (DPB)	25.92	*	25,220	700	25,920	1,000	234	1		variable paper types and thicknesses used, expensive cover and section divider stock not warranted
Opinions of Industrial Commission V. 66	23.82	+	11,912	0	11,912	500	247	1		

(Table continues)

Table 4 (Continued)

Publication Name (Agency)	Cost Per Copy	Publication Costs				Quantity Printed	Number of Pages	Number of Ink Colors	Cost Appears Excessive	Comments
		Design *	Printing	Distribution	Total Cost					
Budget Document 90-92 (DPB)	\$23.67	*	\$27,700	\$700	\$28,400	1,200	347	2		expensive cover stock and two-color cover not warranted
Opinions of Industrial Commission V. 67	22.91	+	11,454	0	11,454	500	333	1		
Vestry Book of St. Peter's Parish (VSL)	21.94	\$0	7,678	0	7,678	350	866	1		
Veterinary Teaching Hospital Student Orientation Manual (VPI)	21.71	0	2,605	0	2,605	120	380	1		
Annual Report 1988 (SCC)	19.25	+	3,770	79	3,849	200	555	1		
Vestry Book of St. Paul's Parish (VSL)	17.85	0	6,246	0	6,246	350	692	1		
Laws of Virginia - Banking and Finance, 1989 Update (SCC)	17.28	+	27,745 [■]	1,635	29,380	1700	248	1		
SLH Ambulatory Surgical Center Manual (DMAS)	16.29	0	570	*	570	35	131	1		

Legend:


• Design cost includes typesetting as well as creative design.

+ Design cost is included in printing cost.

■ Includes cost of legal research provided by printer.

* Cost cannot be determined by agency.

+ This publication is a series of nine books. The cost per copy is the average cost for one book. The other figures provided are totals for all nine books.

 = Cost of publication appears excessive. Agency should take action to reduce costs for any future printing.

Source: JLARC analysis of "Agency Record of Publications" forms for FY1989, obtained from the Virginia State Library; review of printing bid files containing purchase orders dated January 1989 through December 1989, at the Department of General Services; and follow-up contacts with agency personnel.

copies at a cost of \$802.00 -- \$26.73 per copy. No binder or divider tabs are included with the manual, since supplying these items was deemed too costly by the VEC. The expense of the publication is due to its length; the manual consists of approximately 1,200 pages. Until July, 1990, the manual was photocopied in-house onto standard copier paper. However, due to the size of the document and the elimination of VEC's print shop for reasons of cost effectiveness, future copying of the document will be done by outside printing services.

In addition, some agencies charge a fee for some publications in order to recover production costs. The State Corporation Commission, for example, charged \$39 per copy for its 1987 *Annual Report*. However, agencies generally do not recover the full cost of producing the publication through fees since many complimentary, or free, copies may be issued to various entities, such as agency staff.

The High Cost Per Copy of Six Publications Is Not Justifiable. The cost associated with six high-cost publications appears excessive. The cost of these publications is driven up by a variety of factors, including pre-printing alterations and specialized printing techniques.

Alterations that are made to a publication prior to printing can significantly increase the publication's design cost. For example, \$2,650 of the \$10,517 design cost for the Department of the Treasury's 1989 *Annual Report* was due to alterations made by the department. Some alterations are made to correct errors. However, others are performed, for example, because an agency decides it wants to rewrite a section of the report after the design process has been initiated. The further along in the report production process these alterations occur, the more expensive they become.

Some of the high-cost publications also use specialized printing features which add to their overall cost. These features include the use of glossy or textured paper, multiple colors of ink, embossing, and die cuts.

The Code of Virginia requires the State Comptroller to produce an annual report, which also serves as Virginia's comprehensive annual financial report. The FY 1989 *Annual Report* was printed in two colors, using expensive cover and text stock. The center of the cover was embossed with a graphic depicting the theme of the report -- transportation. The report contains 179 pages, 34 of which relate pictorially to the theme. Of these 34 pages, 17 are full-page pictures. These additional pages do not seem integral to the purpose of the report.

The Department of Accounts (DOA) printed 1,600 copies of the 1989 *Annual Report* at a cost of \$24,833. Extensive design costs totalling \$36,304 were also incurred in production of this report. Of the \$36,304 the DOA spent designing its report, \$15,710 was for alterations. Almost one-half of the alterations were from changes made to

the typeset copy. The department spent an additional \$1,375 for distribution of the report. The report cost \$39.07 per copy to design, print, and distribute. According to the Comptroller, the DOA is currently examining ways to decrease the cost of its next annual report, and has prepared a list of cost-saving actions to be undertaken.

Some Publications Are Produced in Large Quantities. Review of the "Agency Record of Publications" forms submitted to the VSL, JLARC's follow-up data, and the DGS/DPS bid files indicates that 717 publications were produced during FY 1989 in quantities of 10,000 or more (Appendix B). An example of the type of publication printed in large quantities is the budget tabloid produced by the Department of Planning and Budget.

In December 1989, the Department of Planning and Budget produced a publication entitled Virginia: The Challenge of Growth 1990-92. This publication is a tabloid which summarizes executive budget recommendations and the financial condition of the Commonwealth. The most recent tabloid consists of 48 11" by 14" standard stock pages printed on two sides. The publication was printed using full-color photographs, extensive spot color, screens, and reversed type. Further, it features numerous illustrations and complex graphic layouts requiring special attention from the printer. The budget tabloid cost \$28,377 to print 10,000 copies. An additional \$31,500 was spent on out-of-house design services. The department was unable to determine the cost associated with internal preparation and design work. The tabloid was distributed to legislators, local government officials, public schools, public libraries, and private sector businesses. The distribution cost was \$3,000.

In itself, the printing of large quantities of a publication does not indicate a problem. It can be cost effective for agencies to print large quantities at one time, provided the publication has a relatively long shelf life or large immediate distribution. However, decisions to print large quantities should be based on demonstrable need, as well as the length of time for which the publication's contents remain relevant. As an example, the Department of Conservation and Recreation appears to have a sound method of assessing the number of State park maps to print periodically.

The Division of State Parks within the Department of Conservation and Recreation (DCR) printed 15,000 copies of the Pocahontas State Park Map in FY 1989 at a cost of \$680. These maps are distributed to visitors of the park. In deciding how many park maps to print, division staff first determine whether there will be any major changes to the park within the next two years. DCR tries to print a supply of maps sufficient to last two years whenever possible. Next, the park superintendent examines the number of visitors to the park in recent years, the number of maps printed, and how long the previous supply of maps lasted. The number of visitors is determined by the number of

parking tickets sold during the summer months and through the use of a traffic counter during off-season months. The number of maps previously printed is then adjusted by whether attendance at the park is increasing, decreasing, or fairly constant to determine the quantity of maps to be printed.

Publications for which need is not clearly defined may be candidates for reduction and associated cost savings.

Conclusion

The number and cost of State publications has increased significantly over the past decade. While the majority of State publications appear to be moderately produced in a low key fashion, analysis of several factors indicates that the State is spending more than it needs to on publications, and some State publications are more extravagant than necessary.

In light of the cost involved in producing publications, which takes on added significance as State agencies experience record-level budget cut-backs, agencies need to closely examine the need for all publications produced and the form in which they are being produced. All agencies, especially those with high publication expenditures, high cost-per-copy publications, and large quantities of publications, should undertake such a review. Although high total publication expenditures or the printing of large quantities of publications do not in themselves indicate a problem, close review by agencies with these characteristics could increase the possibility of the State realizing substantial cost savings.

Executive Memorandum 2-90, issued by the Governor in May 1990, sets out a mechanism through which comprehensive assessment of agency publications could be achieved. The memorandum created Project Streamline, an executive branch effort to enhance the operational efficiency of Virginia State government. Under Project Streamline, the Governor's Secretaries are responsible for working with their agencies to prepare implementation plans for achieving operational efficiencies. The elimination of unnecessary publications, and the down-scaling of other publications, could result in significant operational efficiencies.

Recommendation (1). As part of Project Streamline, each Governor's Secretary should direct his or her agencies to undertake an assessment of their publication needs and practices, and identify opportunities for cost savings. Particular attention should be focused on agencies with high publication expenditures, high cost-per-copy publications, and large quantities of publications. Each Secretary should set a target figure for publication savings to be achieved by the agencies within his or her secretarial area over the biennium. Although no hard and fast evidence exists to support a particular target amount, a combined \$1 million target for all agencies over the biennium would appear reasonable given the recent rapid growth in the number and cost of State publications.

Chapter III: Considerations Affecting the Cost of State Publications

As indicated in the previous chapter, analysis of State agency publications indicates that some agencies may produce publications that are more extravagant than necessary, and therefore more costly. Such expenditures appear unreasonable for State publications, especially when the State is facing severe budget restrictions.

Attention to a number of considerations related to publications — such as needs assessment, design, printing, and distribution practices, could help reduce State agency expenditures on publications. In addition, the *Agency Procurement and Surplus Property Manual* should be modified to enhance the State's recycling efforts.

Assessing the Need for Publications

State publications are produced to fulfill a variety of needs and to serve varied audiences. The production of some of these publications is mandated. The vast majority of publications, however, are produced at the discretion of the originating agency.

An objective needs assessment is a first and essential step in assessing if publications are being produced for valid purposes and in an appropriate manner. While some agencies periodically assess the need for their publications, and one broad executive branch assessment has been initiated in the past, there appears to be little regular attention to this area. As shown in the previous chapter, however, there is a continuing need for agencies to evaluate their publications.

Mandated Publications. An assessment of the *Code of Virginia*, the 1988 Appropriations Act, and administrative directives of the Secretary of Administration indicates that requirements exist for the production of 70 executive branch publications. Among the required publications are: annual and biennial reports of specified agencies, statistical reports, rules and regulations, and other types of publications (Table 5 and Appendix C).

The 1982 JLARC publications study recommended that the Secretary of Administration and Finance determine which mandated reports should be produced annually, biennially or not at all. The emphasis was to be on recommending biennial rather than annual reports. It was also recommended that the Secretary evaluate existing annual reports of institutions of higher education to determine guidelines by which they should be produced.

As directed by Senate Joint Resolution No. 27 in 1982, the Secretary of Administration and Finance surveyed all agency heads about their report requirements with

Table 5

**Number of Publication Requirements Placed
on Executive Branch and Independent Agencies**

<u>Type of Publication</u>	<u>Number of Reports Required</u>
Annual Reports	41
Biennial Reports	11
Other publications*	<u>18</u>
TOTAL	70

*Includes such publications as statistical reports, and rules and regulations.

A complete listing of publication mandates is included in Appendix C.

Source: JLARC staff review of the *Code of Virginia*, 1988 Appropriations Act, and Secretary of Administration directives.

the goal of eliminating the production and distribution of reports that did not contain essential information or which duplicated information provided by another source. A preliminary list of recommendations was submitted as Senate Document No. 12 to the 1983 General Assembly Session. Senate Document No. 12 evaluated reports according to the need for public disclosure to affirm governmental accountability and the need to disseminate information related to public health and safety in order to determine if they should be eliminated or amended.

These efforts ultimately resulted in legislation during the 1984 Session of the General Assembly (*Acts of Assembly* 1984, c. 734). Based on this legislation, 48 executive branch report requirements were eliminated and 13 report requirements were added. In addition, four annual reports were amended to biennial reports. Since 1984, there have been 25 additional publications mandated in the *Code of Virginia*.

The 1984 legislation addressed another point discussed in the initial JLARC report. In 1982, JLARC found that many agencies thought they were directed by law to produce an annual report. Agencies incorrectly cited §2.1-2 of the *Code of Virginia* as a requirement for producing annual reports. The 1984 legislation revised this section to limit annual and biennial reports to those specifically required in the *Code of Virginia* or required by the Governor.

Non-mandated Publications. The majority of publications produced by State agencies are issued at the discretion of individual agencies. Several reasons were cited by case study agencies for producing non-mandated publications. The most common

reasons include: to respond to formal or informal requests for information (including mandates), to promote a program or programs within the department, and to meet an in-house communication need (Table 6).

The case study data indicates that needs assessments are conducted for few publications. Of the ten case study agencies, five performed needs assessments for at least one publication. These efforts were usually limited to a minimal number of publications.

The Department of Mines, Minerals and Energy (MME) performed broad client needs assessments in FY 1989. Each division sent a survey to permit holders to inquire about their general perception of the services performed by the division. The clients were asked to indicate any difficulties they had in identifying or complying with established rules and regulations. MME stated that the divisions have used the results of this survey to better serve their clients and assist them in complying with laws. One division — the Division of Mineral Mining — produced a publication based on survey responses requesting information on first aid. MME expects its divisions to conduct the survey every two to three years.

* * *

In 1988, Radford University conducted a two-part review of its admissions materials. First, focus groups consisting of current students were used to determine the information which should be included in

Table 6

Purposes of Publications

Question: For what purposes are publications produced?

<u>Response</u>	<u>Yes</u>	<u>No</u>
Responses to requests for information	10	0
Legislative or administrative mandate	9	1
In-house communication need	8	2
Promotion	8	2
Needs assessments	5	5

Source: JLARC case study agency interviews.

the university's prospectus and how that information should be presented. This effort resulted in a substantial reorganization of the prospectus to better address the needs and concerns of potential students. In addition, Radford collapsed two admissions publications into one. Formerly, the university produced one "search piece," which was mailed to potential students, and one "travel piece," which was distributed by admissions counselors when they visited high schools around the State. Many students ended up receiving both publications, which contained essentially the same information. Through discussions between admissions counselors and potential students, the university decided that one publication could be used for both purposes, thus reducing the cost involved in producing a second publication.

The 1982 JLARC study recommended that the Secretary of Administration and Finance develop a means to ensure that agencies conduct needs assessments of their publications. The Secretary of Administration and Finance was also planning to pursue a broad examination of general State publications to be completed by the spring of 1984. These activities were never conducted.

With the increasing number and cost of publications in the last several years, it is imperative that agencies evaluate the need for all their publications. In assessing the need for publications, an agency should first clearly identify the target audience and its needs. Next, an agency should identify the content of each proposed or current publication. By examining whether or not the content of the publication directly addresses the identified needs of the target population, an agency can determine if a publication is the most appropriate means of reaching the defined audience or whether alternative and potentially less costly options exist.

Further, needs assessments should address such factors as the quantity to be printed, the recommended frequency of issuance, and the most effective means of distribution. All of these factors could lead to potential cost savings.

Recommendation (2). The Secretary of Administration, with assistance from the Department of General Services, should develop suggested guidelines to be used by executive branch agencies when conducting needs assessments of agency publications. These guidelines should address how agencies can determine whether a publication is the most appropriate method of disseminating information, the minimum number of publication copies needed to disseminate information, and the most effective and least costly method of distribution.

Design Considerations

In producing a publication, an agency can either design the publication in-house, use the graphic services of the Office of Graphic Communications (OGC) within

the Department of General Services' Division of Purchases and Supply (DGS/DPS), or hire a private firm to design the publication. State agencies are increasingly taking advantage of in-house desktop publishing equipment in producing publications, and incurring cost savings as a result. For publications designed out-of-house, not all agencies are requesting the services of OGC, as required by DGS/DPS. Non-compliance with DGS/DPS guidelines for design services may result in increased cost incurred by State agencies.

Design Via Desktop Publishing. Desktop publishing typically involves the use of a personal computer, page composition software, and a laser printer. It evolved in the mid-1980s through the development of integrative software which combined text and graphics into finished pages, and allows the operator to generate "camera ready" copy suitable for submission to a print shop.

State agencies using desktop publishing equipment have consistently noted cost savings and more control of the publications process (Exhibit 1). These advantages are seen throughout all aspects of production from writing and editing to page layout to printing. However, the cost effectiveness of desktop publishing must be viewed in light of the amount of publication work done by an agency and the cost of the equipment.

Advantages of Desktop Publishing. Use of desktop publishing equipment gives an agency more control in the publication process while also yielding cost savings. First, by keying text completely in-house, complete control over writing and editing is given to the actual production staff of the publication. This can eliminate expensive last minute alteration charges. Text keyed on a word processing program can be accessed and electronically formatted through use of page composition software so that graphics can be added. Production staff can experiment with type options and graphics at low cost. Agencies can also save and reuse design formats for periodic publications, which significantly reduces or eliminates the design cost over the life of that publication.

For agencies that previously required typesetting for all publications, desktop publishing offers an alternative of comparable quality at significantly reduced time and expense. For agencies accustomed to word processing, desktop publishing offers an opportunity to professionalize the appearance of publications and to integrate graphics without requiring extensive design skills.

Disadvantages of Desktop Publishing. A primary disadvantage associated with desktop publishing is the initial expenditure necessary to procure the hardware and software. A minimum, quality system, including software and laser printer, can be purchased for approximately \$7,000. This expenditure may not be cost effective for agencies that produce a small number of publications each year. For such agencies, however, the feasibility of sharing desktop publishing equipment could be examined. In addition, agencies could request desktop publishing services from OGC, which recently purchased such equipment.

Advantages of Desktop Publishing Cited by State Agencies

The Department of Education (DOE) has designed approximately 200 publications on its desktop publishing equipment since it was acquired in 1989. The Department has noted several advantages in using this equipment, such as the increased control and time saved by keying and proofing their publications in-house. Also, the use of type options can conserve paper through better use of space, and graphics make publications more attractive. One publication produced via desktop publishing is the Virginia Educational Directory, on which DOE saved over \$2,200 in design costs in FY 1990. The previous directory, which was designed and typeset out-of-house, cost DOE \$4,324 to design. The use of the desktop publishing equipment enabled the department to reduce the design cost for this publication to \$2,110 — one-half of the previous expenditure.

* * *

The Department of the Treasury began using desktop publishing equipment in 1989, and has reduced the design cost of bond statements as a result. For example, design costs of the Preliminary Official Statement for the Virginia Public School Authority (VPSA) Financing Bonds 1988 Series B were \$4,962. This document was prepared out-of-house. The Preliminary Official Statement for the VPSA Financing Bonds 1989 Series A, which was prepared in-house using desktop publishing equipment, cost \$881 to design. These statements were similar in length and content. Use of desktop publishing, therefore, resulted in a cost savings of \$4,081 for just one publication.

* * *

The Department for the Aging greatly enhanced the appearance of its publications by using desktop publishing equipment. For example, A Consumer's Guide to Long-Term Care in Virginia went from a 176-page document done on word processing to a 113-page document that looked more professional and contained more information through effective use of the page composition software. Design work cost the department approximately \$281 in staff time. The department estimated that, based on an average typesetting charge of \$30 per page, it would cost roughly \$3390 to have this document typeset out-of-house. The reduced number of pages also resulted in a lighter weight document that cost 15¢ less per copy to mail.

Source: JLARC telephone contacts with selected agencies.

An additional disadvantage which would primarily affect agencies with few publications concerns training staff to use desktop publishing equipment. Desktop publishing equipment is fairly complex to operate and operators need training and experience to be effective. Therefore, agencies must evaluate the cost effectiveness of training and dedicating staff to this function.

Recommendation (3). The Office of Graphic Communications within DGS/DPS should notify State agencies of the availability of desktop publishing services from OGC.

Publications Designed Out-of-House. The DGS/DPS *Agency Procurement and Surplus Property Manual* gives agencies the discretion to choose between OGC and a private firm for design services or camera ready artwork up to \$750. According to section 6.7 of the manual, agencies that do not have in-house design capabilities must contact OGC for services over \$750 "to determine if their requirements can be provided by that office or receive authority to procure from an outside source." If OGC decides that it cannot do the design work, then an agency has the authority to go to an outside design firm. Agencies must always follow the DGS/DPS procedures for procuring non-professional services.

One of the reasons for this requirement is that OGC can provide services for lower prices than those charged by private firms. According to JLARC's 1987 report on internal service funds within the Department of General Services, OGC's hourly rates are substantially less than those charged by private sector graphics agencies in the Richmond area. JLARC found that private sector agencies charged on average \$22 an hour higher for creative tasks and \$25 an hour higher for production tasks than OGC. OGC charged \$28 per hour for creative tasks and \$20 per hour for production tasks.

Some State agencies are not complying with DGS/DPS requirements in this area. Agencies circumventing DGS/DPS requirements appear to be agencies with promotional mandates. According to DGS/DPS staff, these agencies may have contracts with private advertising agencies for promotional services. Such contracts may include graphics design work. The agencies then categorize and pay for this work as "promotional services." Even if an agency has a promotional mandate, it is still required to abide by DGS/DPS requirements.

Follow-up with agencies having promotional mandates revealed that some of these agencies were indeed having publications designed by private firms without first going through OGC.

Staff of the Department of Agriculture and Consumer Services (VDACS), Division of Marketing, stated that most of the department's publications are designed in-house. According to division staff, approximately ten percent of publications are designed by a private firm with which the department has a contract. VDACS does not use OGC at all and has not developed an agreement with OGC regarding this

practice. The staff person felt that VDACS did not have to go through OGC since VDACS has its own in-house design staff.

* * *

The Virginia Port Authority has a contract with a private advertising firm. Under this contract the Port Authority can request the private firm to design "collateral materials." Collateral materials include such items as brochures and maps which are used for specific marketing purposes and which may promote specific services and facilities offered at State-owned marine terminals. Staff of the Port Authority stated that they prefer to use the private firm, because the firm has a clear understanding of the authority's theme and can provide materials on very short notice. OGC is not contacted first to determine if the private firm may be used to procure this design work.

The language in section 6.7 of the procurement manual is partially to blame for this confusion. The intent of the language is to allow agencies with in-house capabilities to design their own publications internally. A literal interpretation of section 6.7, however, allows agencies with in-house capabilities to procure design services over \$750 from private firms. This language should be changed to clarify DGS/DPS' intent.

Recommendation (4). DGS/DPS should clarify section 6.7 of the *Agency Procurement and Surplus Property Manual* by specifying that all agencies, when planning to use a private firm for design services estimated to cost over \$750, must first contact the Office of Graphic Communications to determine whether that office can perform the needed design work.

Recommendation (5). DGS/DPS should follow-up with agencies having promotional mandates to ensure that those agencies procure design services through the Office of Graphic Communications as required. If agencies are found to be out of compliance with section 6.7 of the *Agency Procurement and Surplus Property Manual*, DGS/DPS should document the non-compliance in writing and request a written response from the agency as to how the agency intends to correct the problem.

Printing of Publications

A review of State agency publications sent to the Virginia State Library (VSL), bid file data at DGS/DPS, and publications issued by the case study agencies indicates that most publications are moderately produced. However, expensive special features, such as multi-color printing and glossy or textured paper, are used in a substantial number of publications. In many cases, the use of these high-cost features is not warranted.

Use of Special Printing Features. The DGS/DPS *Agency Procurement and Surplus Property Manual* states that "agencies should avoid the use of specialized

technical processes in preparing publications” and that “expensive stock and paper that must be specially ordered should be avoided.” The guidelines also state that “except for promotional brochures, booklets and diplomas or where the use of color is essential to support the purpose of the publication, all printing shall be one color.” These guidelines are meant to keep the cost of printing publications to a minimum. Agencies frequently do not follow these guidelines and print publications using these special features, at additional cost to the State.

Cost of Special Printing Features. Agencies using special features in printing publications incur increased publication costs. For example, the use of multiple colors adds to the cost of a publication, as illustrated below.

The 1989-90 Telephone Directory printed by Virginia Commonwealth University has a four-color cover and stripes of color at the edge of some of the pages to designate the different sections of the directory. The base price for 8,000 copies of the directory was \$12,720. Including colored stripes on the edge of the pages added \$4,490 to the total cost of the publication. The addition of four-colors to the cover added an additional \$1,880 to the printing costs. Therefore, the addition of color to the publication increased its cost by 50 percent.

Some agencies may not be aware of the cost associated with special printing features. During case study interviews and other discussions with agency personnel involved in the publication process, several agencies’ staff indicated their belief that two-color printing was not significantly more expensive than single-color printing. JLARC staff surveyed ten print shops in the Richmond area to determine the differences in cost associated with multi-color printing as well as other special printing techniques.

Multi-color printing costs were found to be significantly higher than costs for single-color printing, although the additional cost for using more than one color varied greatly between print shops (Table 8). Printing specifications comparable to a moderately produced annual report were used to identify a base printing cost. Costs were also obtained on adding special papers and techniques to the publication. The average increase in the printing cost for adding a second color to the publication was 44 percent. Replacing standard white stock with glossy paper added an average of an additional 15 percent to the cost of the printing. Use of all the additional special features, as were found in a number of State publications, increased the average cost of the publication by 218 percent over the base price. When designing publications, agencies should consider the impact on cost of using these special features.

Distribution of Publications

The *Code of Virginia* requires agencies to maintain cost information on their publications. However, most executive branch agencies do not keep records of their publication distribution cost and are therefore unable to report on expenditures in this

Table 8

Print Shop Survey Results

Ten print shops in the Richmond area were surveyed to obtain printing cost information. The following information was obtained: base price for 1500 copies of a 66-page, 8 1/2" by 11" publication with a standard one-color cover, 18 black and white photographs, and saddle stitched; and additional costs for using two colors of ink, special papers for the text and a full-color cover, ten full-color photographs, and perfect binding.

Cost Information Provided by Each Print Shop

	A	B	C	D	E	F	G	H	I	J	Average
BASE PRICE	\$3,780	\$3,085	\$2,540	\$4,435	\$3,000	\$3,800	\$1,726	\$2,181	\$3,336	\$4,600	\$3,248
Additional Costs for:											
TWO INK COLORS	597	3,083	1,273	1,400	450	748	674	1,517	1,930	2,665	1,434
GLOSSY PAPER STOCK FOR TEXT	378	420	344	400	1,250	200	--	577	367	310	472
GLOSSY, FULL COLOR COVER	--	1,382	968	100	750	--	--	--	--	1,060	852
TEN COLOR PHOTOGRAPHS	--	5,394	3,429	2,800	--	--	--	--	--	--	3,874
PERFECT BINDING	--	207	--	--	--	--	374	789	--	--	457
TOTAL											\$10,337

-- = service or cost estimate not available

Source: Telephone interviews with print shops in the Richmond area.

area. Of the 140 agencies producing publications in FY 1989, 80 could not provide complete distribution cost data to the VSL or JLARC.

Agencies which did report distribution cost data spent over \$2 million in fiscal years 1988 and 1989 to distribute publications. As already indicated, this figure is conservative as many agencies were unable to provide distribution cost data.

It appears that additional efforts should be made to streamline agency distribution of publications. In particular, DGS/DPS efforts to identify individuals interested in receiving State publications should be strengthened and supported.

1982 Study Findings and Recommendations. The 1982 JLARC publications study found that, because of a mandate in the *Code of Virginia* requiring that annual reports be distributed to all members of the General Assembly and all agency heads, many individuals received reports they neither needed nor wanted. The report recommended that the distribution requirements be changed to direct DGS/DPS to survey legislators and agency heads to determine which State publications they would like to receive.

As a result of this recommendation, §2.1-467 of the *Code of Virginia* was amended to require DGS/DPS to "... distribute to all legislators and agency heads a list of state agencies for the purpose of selecting those agencies whose reports they wish to receive." The division is also directed to include with the list a provision which allows the individuals to specify which types of reports they would like to receive.

While the *Code of Virginia* does not specify how often legislators and agency heads should be surveyed, DGS/DPS currently conducts the survey every year. Once the surveys are compiled, the division sends to each agency head a copy of the completed surveys in which publications from the agency were requested.

Current Distribution Practices. The distribution survey is intended to reduce the number of publication copies needing to be printed and subsequently distributed. The survey is not, however, being utilized effectively.

The survey has a number of problems which prevent it from fulfilling its objective — reducing the number of unwanted publications mailed to legislators and agency heads. First, few legislators or agency heads complete and return the survey. The survey is sent to all members of the General Assembly and approximately 212 agency and division heads. In FY 1989, only seven legislators and 21 agencies completed and returned the surveys.

In addition, few agencies seem to utilize the survey results. The mailing lists at the ten case study agencies included legislators and agency heads who did not request their publications on the survey, while at the same time excluding some of the individuals who requested their reports.

Currently, there is little incentive for agencies to mail reports only to the individuals who completed the form. According to §2.1-467 of the *Code of Virginia*,

"agencies shall be informed by the Division as to those individuals who wish to receive their reports and should limit the distribution of their reports accordingly." When agencies ask the DGS/DPS staff member responsible for the survey if they can send reports to persons who have not requested publications, he tells them it is "optional." The end result is that legislators and agency heads are still receiving unrequested reports.

Further, the survey results are often not given to the publication staff who are responsible for compiling mailing lists. DGS/DPS sends the results of the survey to the heads of the agencies whose publications were requested. In nine of the ten case study agencies, the publication staff had never been informed of the results of the survey, and were not familiar with the survey itself.

The *Code of Virginia* requires that DGS/DPS include a provision for individuals completing the survey to "specify the types of reports they wish to receive, including annual or biennial, recurring, major, or all reports" (§2.1-467 B). This provision as currently written causes confusion among agency publication staff as the distinctions between the choices are not clear.

To address these problems, several steps should be taken. First, agencies should limit their distribution of reports to agency heads and legislators who request reports unless otherwise required by law. Second, agency heads should ensure that the survey results are given to the appropriate agency staff so that the results can be used. Third, agency heads and legislators completing the form should be given a more specific checklist of the types of publications they wish to receive from an agency. The DGS/DPS survey form could include the following options: annual/biennial reports, newsletters, statistical reports, college alumni reports, college catalogues or schedules, regulations, technical manuals, professional journals, general information bulletins or brochures, or research reports.

Recommendation (6). The Secretary of Administration should attach a cover letter to the next distribution survey administered by DGS/DPS. The cover letter should reference §2.1-467 of the *Code of Virginia*, and should direct agencies to (1) respond to the survey, and (2) unless otherwise directed by law, limit their distribution of publications to individuals specifically requesting them. DGS' responses to questions concerning the distribution of reports should be consistent with statutory provisions.

Recommendation (7). Agency heads should ensure that the results of the DGS/DPS distribution survey are disseminated to their agency publication managers or other staff members responsible for compiling publication mailing lists.

Recommendation (8). The General Assembly may wish to amend §2.1-467 B of the *Code of Virginia* to allow legislators and agency heads to more specifically designate the publications they wish to receive from State agencies. These designations could include: annual/biennial reports, newslet-

ters, statistical reports, college alumni reports, college catalogues or schedules, regulations, technical manuals, professional journals, general information bulletins or brochures, and research reports. DGS/DPS should revise the instructions on the publication distribution survey in accordance with the revised statutory provisions.

Recycling

Increasing concerns about preserving the environment and conserving natural resources have brought recycling to the forefront of State priorities. With regard to publications, recycling involves two aspects: using recycled paper to print publications, and recycling publications which are to be discarded. Over the past few years, the General Assembly has passed legislation meant to encourage recycling efforts of State agencies. Although the use of recycled paper and the number of paper recycling programs has increased over the past few years, available information indicates that the majority of agencies still do not consistently participate in recycling activities. Cost appears to be one impediment to the widespread participation of agencies in recycling activities.

Actions of the General Assembly. In the past few years, the General Assembly has enacted three major pieces of legislation with the intent of increasing recycling activities of State agencies. These legislative actions directly impact the use of recycled paper and the recycling of used paper by agencies.

In 1989, the General Assembly passed legislation encouraging the use of recycled paper. This legislation allows State agencies to purchase recycled paper when it is available at a price of up to ten percent more than virgin paper. Further, through amendment of §11-47.2 of the *Code of Virginia*, DGS is now required to award paper contracts to the lowest bidder offering recycled paper, as long as the recycled paper does not cost greater than ten percent more than virgin paper of the same quality.

In 1990, legislation was passed requiring all State agencies to establish programs for the use of recycled materials and the recycling of used materials (§§10.1-1425 through 10.1-1425.4 of the *Code of Virginia*). This legislation also directed the Department of Waste Management to develop a recycling plan for the State by July 1, 1991.

Additional legislation was also enacted in 1990 to simplify the steps which agencies must take to recycle outdated publications and other paper products. Section 2.1-457 D of the *Code of Virginia*, effective July 1, 1990, states that agencies will no longer have to follow the DGS/DPS surplus property guidelines for the transfer or sale of surplus property when recycling goods.

Recycled Paper. Agencies' use of recycled paper is still minimal but is increasing. The use of recycled paper has historically been low because of its inferior quality

and high cost in comparison to virgin paper. In recent years, however, the expanding market for recycling has helped reduce these problems.

Currently, the use of recycled paper for the printing of publications seems to be minimal for State agencies. Of the ten case study agencies, four used recycled paper, and for only some of their publications (Table 9).

In order to use recycled paper for publications, agencies purchasing printing services must specifically request recycled paper in their bid specifications; few appear to be doing so. Some agencies reported that they do not purchase recycled paper because it is more expensive than virgin paper. Others stated that they buy recycled paper when possible, but it is not always available. Still others have made no efforts to

Table 9

Recycling Efforts of Case Study Agencies

<u>Agency</u>	<u>Uses Recycled Paper</u>	<u>Recycles Used Paper</u>
Department of Accounts	NO	YES
Department of Conservation and Recreation	Some Divisions	Some Divisions
Department of Health	NO	Some Divisions
Department of Mines, Minerals, and Energy	Some Divisions	Some Divisions
Virginia Museum of Fine Arts	NO	NO
Radford University	Some Publications	Some Paper Products
Tidewater Community College	NO	NO
Virginia Commonwealth University	NO	Some Departments
Virginia Polytechnic Institute and State University	Some Publications	Some Departments
Virginia Retirement System	NO	Some Paper Products

Source: JLARC case study agency interviews.

use recycled paper. DGS/DPS does not have the statutory authority to require that agencies use the recycled rather than virgin paper. In general, agencies with conservation-related missions, such as the Department of Conservation and Recreation, were the most frequent users of recycled paper.

The quality of certain types of recycled paper seems to be approaching that of virgin paper. The printing manager at DGS/DPS recently conducted a pilot test of recycled copier paper. Various quality variables were examined, such as the whiteness of the sheets, how well the paper printed, the feel of the paper, and whether or not the paper caused problems when running through the copiers. Four million sheets of paper were tested in 11 large agencies on a total of 44 different copier models. Respondents at the 11 agencies rated the recycled paper favorably. For example, 94 percent stated that the whiteness/brightness of the recycled paper equaled that of virgin paper, and 90 percent reported that the recycled paper ran through the copier as well as or better than the virgin paper.

The cost of recycled paper has become less of a prohibiting factor in its use by State agencies. The cost of recycled paper is decreasing significantly, and for some types of paper is approaching that of virgin paper. For example, the recycled computer paper which has recently been placed on State contract by DGS/DPS costs the same as virgin computer paper. In addition, the legislation passed in 1989 requires that DGS/DPS must buy recycled paper when possible and may pay up to ten percent more for it. The division does not have the statutory authority to require that agencies use the recycled paper, but they suggest the use of recycled paper to agencies which are renewing printing contracts in which recycled paper would be appropriate.

Recycling Publications and Office Paper. The second element of recycling concerns the actual recycling of outdated, over-stocked, or otherwise unusable publications. Agencies have recently taken steps toward instituting recycling programs for publications as well as other recyclable products. However, some publications are produced in such a way as to impede recycling efforts.

The Department of Waste Management's Division of Litter Control and Recycling is in the process of developing a recycling plan for all recyclable products. The division has worked extensively with 32 State agencies in the Richmond area to assist them in developing recycling programs, and is currently researching alternatives for an effective statewide recycling program. The department expects to complete the plan on or before July 1, 1991.

A mix of recycling efforts were identified through discussions with the case study agencies. Of the ten case study agencies, eight currently recycle some office paper, discarded publications, drafts, or outdated inventory (Table 9). The remaining two agencies — the Virginia Museum of Fine Arts and Tidewater Community College — have plans to begin recycling programs. Some of the agencies have developed recycling programs independent of the Department of Waste Management. Radford University, for example, has been making outdated letterhead into scratch pads for

years. In general, agency recycling activities appear to be fragmented and are operated on a division-by-division basis.

There are two main factors that prohibit some publications from being recycled, and which may affect agency recycling efforts. One factor is the type of paper used. Paper that is coated with wax cannot be recycled. In addition, glossy, shiny paper, such as that used in magazines, is less easily recycled. Of 25 paper recycling agencies contacted throughout Virginia, only six of them accept glossy paper, and one of these six only accepts it in truckload quantities. Further, the prices paid by recycling agencies for glossy paper are typically lower than for other paper types.

The process used to bind a publication also affects the ease with which a publication can be recycled. Publications which are "perfect bound" with glue cannot be recycled unless the adhesive binding is removed. Because of the time required to remove the glued area, perfect bound publications are less cost effective and less likely to be recycled. Other types of binding, such as plastic spiral binders, can be easily removed to allow the publication to be recycled. In addition, the spiral bindings can be reused.

Recommendation (9). The Department of Waste Management should work with the Department of General Services to amend the *Agency Procurement and Surplus Property Manual* to facilitate the use of recycled paper and incorporate recycling-related considerations into the publication and printing guidelines.

Chapter IV: Oversight of State Publications

Each State agency is responsible for monitoring and overseeing its publications. In addition, the Department of General Services and the Virginia State Library (VSL) have some oversight responsibilities for all publications.

The Department of General Services' Division of Purchases and Supply (DGS/DPS) is responsible for procuring the printing of publications and providing guidelines for agencies to follow in producing publications. The VSL is responsible for compiling cost and quantity information on all State agency publications. The VSL also serves as the central depository for these publications.

This chapter discusses problems that were identified with the oversight roles of the agencies originating publications, the VSL, and DGS/DPS.

AGENCY OVERSIGHT

Section 2.1-467.4 of the *Code of Virginia* states that "every agency shall maintain such records of the cost of printing and distributing publications, and the revenue therefrom, as are necessary to disclose the actual costs of such publication and mailing and the revenue received therefrom." These costs are to be annually reported to the VSL.

Maintenance of these records enables agency management to systematically examine the publication activities of the agency. However, many agencies have not developed a process to gather agency-wide cost information on publications, and are therefore unaware of the total agency resources being spent on publications. For example, to develop comprehensive information regarding the magnitude of publications produced by all 171 State agencies, JLARC staff had to contact 132 agencies that did not provide the VSL with any publications data or provided incomplete data for fiscal years 1988 and/or 1989.

For larger agencies and universities, the production of publications is often decentralized to the division or department level. Some of these divisions and departments do not appear to be aware of the requirement to specifically maintain cost information on publications produced. Others simply do not keep ongoing records of their publications as they are produced. As a result, they have great difficulty compiling the required information at the end of the fiscal year.

The publication production process at the Virginia Department of Agriculture and Consumer Services (VDACS) is decentralized by

division and in some instances by bureau. As such, each sub-unit is given responsibility for reporting on their own publications. Reporting by sub-units is inconsistent. Some sub-units have not provided any of the required publication data. Others have reported a list of the publications they produced, but have not compiled cost data on these publications. Of the 11 sub-units that supplied publications information to the VSL in fiscal years 1988 and 1989, only one gave complete information to the VSL for both fiscal years.

Another problem with publication records of agencies lies with the type of records maintained by in-house print shops. Some agency print shops do not internally charge the various divisions for print work performed and thus do not maintain cost records by printing job. As such, it becomes nearly impossible at the end of the fiscal year for division staff to accurately compile publication costs for documents printed in-house.

Staff of some divisions at VDACS felt that their publications were produced at "no cost" and were unaware of annual publication data since the publications were printed in-house. The in-house print shop, where many VDACS publications are printed, does not charge each division for printing jobs and was unable to supply cost data on a "per job" basis. Cost data on publications printed by the in-house print shop are therefore not reported to the VSL.

Some agencies have recently taken steps to ensure agency-wide oversight of publications and accurate reporting of publications information to the VSL. For example:

A meeting of the public information officers from each community college was held in fall 1989 to discuss the officers' duties and responsibilities. One topic discussed was the importance of controlling publications and devising policies and procedures to do so. At Germanna Community College individual departments have not traditionally reported publication expenses. As a result of the meeting, however, the new public information officer has established a centralized system requiring every department to report publication information to the public information office. This information will then be forwarded to the VSL annually.

* * *

Old Dominion University (ODU) produces a large number of publications. In FY 1988, only one small department within the university complied with the requirement to send publication information to the VSL. In FY 1989, no departments supplied publication information to the VSL when requested. After JLARC contacted ODU to obtain the data which was not submitted to the VSL, a University Records

Management Planning Committee was established to address issues such as how publication data will be collected and accurately recorded in the future. In addition, the Office of Publications and Graphics has instituted a system to record specific publication information at the time a publication project is initiated.

All agencies should maintain cost information on their publications as they are produced. This practice will help to improve the accuracy of the cost data, as well as simplify annual reporting of this information to the VSL. Further, for management to be able to identify potential problems with agency publications, comprehensive data must be centrally maintained on all publications. Centralized publication records enable management to garner an agency-wide perspective from which to judge individual publication costs and identify target areas for cost reduction. Review of the publication information required by the VSL, therefore, should be used as a starting point by management from which to periodically evaluate agency publications.

Recommendation (10). The Directors of all State agencies should comply with the *Code of Virginia* requirement to maintain cost information for all publications. Publication information should be recorded by an agency at the time each publication is produced. For agencies with decentralized publication processes, each division should be required to report publication cost data to a designated office, such as the administration, procurement, or public information office, to expedite annual reporting to the VSL and oversight by agency management. In addition, agency print shops should maintain records on the cost of each publication printing job, regardless of whether the print shop internally charges the originating division for the printing. Information on the publications printed in-house should be maintained centrally with all other publication information.

VIRGINIA STATE LIBRARY

The VSL is required by the *Code of Virginia* to perform three primary oversight activities related to State agency publications. First, the VSL is responsible for annually collecting information on the cost and quantity of publications produced by each agency (§§2.1-467.4 and 2.1-467.5). Information is requested from State agencies on an "Agency Record of Publications" form. There is some confusion among State agency staff regarding the information requested by the VSL. Also, as previously noted some agencies do not return the forms or return incomplete forms. The VSL conducts some follow-up to obtain the missing forms. However, additional steps are needed to ensure that the VSL has complete cost records on publications.

Second, the VSL serves as the official depository for State publications and distributes publications to each of the 13 depository libraries throughout the State (§§2.1-467.2 and 42.1-19). The VSL provides no written guidelines for agencies as to

which publications agencies need to send to the library for the depository system. This results in inconsistencies in the types of State publications received by the VSL.

Third, the VSL annually publishes a listing of State publications it received during the preceeding calendar year and which are available to State agencies and the public at the VSL (§2.1-467.7). The VSL produces this listing as mandated. In addition, it publishes an annual listing entitled *Virginia State Publications In Print*. This document lists all State publications which are in print and available from each agency.

Collection of Publication Information From State Agencies

The VSL annually sends each State agency a letter requesting two major types of information. First, the VSL requests that each agency update its listing in *Virginia State Publications In Print* of publications available for dissemination. In addition, the library requests that each agency submit information on all publications produced by the agency during the previous fiscal year. To collect this data, the VSL includes an "Agency Record of Publications" form with the letter. The form requests information on the publication title, frequency of issuance, date sent to the VSL, quantity printed, printing cost, current inventory, location of inventory, distribution cost, total revenue, and whether each publication was printed in- or out-of-house.

There are three problems with the "Agency Record of Publications" form and the information collected. First, confusion exists among agencies as to the documents to be included as publications on the form. Second, some of the instructions for completing the form are unclear, and not all information requested on the form appears necessary. Third, the VSL does not adequately follow-up with agencies providing incomplete information.

Definition of State Publications. Through discussions with State agency staff involved in the production of publications, discrepancies were identified concerning how "publication" is defined. As a result, reporting practices differ among agencies. Documents reported to the VSL by some agencies as publications may not be reported by other agencies. The type of documents reported to the VSL by Virginia Commonwealth University and the University of Virginia demonstrate this variance in reporting practices.

In FY 1988, Virginia Commonwealth University only reported to the VSL cost information for its periodicals. Virginia Commonwealth University did not furnish the VSL with any information on its university catalog, course schedules, or any one-time publications.

* * *

The University of Virginia typically provides the VSL with information on reports, magazines, posters, flyers, newsletters, applications, forms, and brochures which are printed by its in-house print shop,

but does not report any of its documents which were printed out-of-house.

The current definition of publication in the *Code of Virginia* is "all unrestricted publications of whatever kind which are printed or reproduced in any way, published or issued by an agency of the Commonwealth in full or in part at state expense" (§2.1-467.1). This definition lacks the specifics necessary for State agencies and the VSL to consistently interpret exactly which documents are to be considered publications. For example, it is not clear whether or not items such as documents solely for in-house use, single-page items, posters, or programs are publications.

The *Code* definition of publication is broadly worded and implies that the VSL should oversee a wide variety of documents printed by State agencies. While the definition needs to be clarified, it is appropriate that it remain broad. A broad definition facilitates periodic oversight of publications. Cost records of all types of documents give legislators and executive branch officials access to the information needed to identify problems with overspending or unnecessary publications.

However, statewide oversight is generally not necessary on documents intended solely to aid in the internal administration of a particular agency. JLARC staff attempted to collect cost information on all internal documents, such as training and procedures manuals, as well as documents intended for external purposes. Based on the information collected, most in-house documents amounted to a very small part of total State costs. The definition of State publication, therefore, should exclude most internal agency documents.

Recommendation (11). The General Assembly may wish to amend §2.1-467.1 of the *Code of Virginia* to more specifically define publications for which cost data are to be maintained by agencies and furnished to the VSL. The revised definition should generally include written documents which provide information to the reader, are used by entities outside of the agency, and for which at least 50 copies are printed or reproduced, in any way, by or for a State agency in full or in part at State expense. Types of documents which may meet the definition include but are not limited to: reports, catalogues, regulations, technical manuals, employee and other newsletters, brochures, booklets, and posters. The definition should exclude documents which meet both of the following criteria: documents which are specifically restricted to use by an individual agency's staff and which apply only to the agency's administrative operations. Further, documents which are prepared for distribution to only a limited number of individuals named on the written document should be excluded. Types of documents to be excluded are: letters, memoranda, forms, invitations, surveys, press releases, and meeting agendas.

Directions for "Agency Record of Publications" Form. The VSL sends the "Agency Record of Publications" form to each agency with a cover letter and instructions for completing the form. The instructions do not specifically state that only

publications printed during the previous year should be included. As a result, many agencies include information on all publications they have in inventory, regardless of when they were printed.

In addition, some of the information requested on the "Agency Record of Publications" form does not appear to be necessary. Specifically, information related to each publication's inventory is not needed. One of the main purposes behind requesting information on inventory would appear to be to determine if agencies are overstocking some publications. On the "Agency Record of Publications" form, however, inventory information does not seem to be useful, as the publications on which information is being requested were printed only 12 months or less before the form is to be completed. Agencies may have a large number of some publications in stock simply because they were recently printed and have not yet been distributed.

Further, the inventory column adds to agencies' confusion regarding which publications to include on the form, as it leads many agencies to think that they should include information on all publications in stock. Finally, the inventory information is not essential for determining if a publication should be listed in Virginia State Publications In Print, as this information is collected through another means.

Clarification of the instructions for the form is necessary to ensure that the VSL is collecting accurate and consistent information from all State agencies. Also, since the inventory information cannot realistically be used, the requirement for agencies to supply this information should be eliminated from the form. Appendix D identifies the current directions for completing the form as well as suggested changes.

Recommendation (12). The VSL should clarify and simplify the instructions for completing the "Agency Record of Publications" form. Appendix D of this report identifies suggested changes to the instructions.

Recommendation (13). The General Assembly may wish to eliminate the requirement for inventory information in the *Code of Virginia* by amending §2.1-467.5 to read: "The State Librarian shall compile an annual listing of all publications produced by each State agency during each fiscal year, to include the number of each publication printed, and the costs of printing and distributing each publication."

Follow-up with Agencies Providing Incomplete Publication Information. As previously discussed, many agencies do not return the "Agency Record of Publications" form or do not fill in the form completely. The documents librarian at the VSL stated that she makes a follow-up telephone call to those agencies that do not return a form, but many still do not comply with the requirement.

JLARC staff conducted intensive follow-up on the forms for fiscal years 1988 and 1989, requesting forms from agencies which did not return them and contacting agencies which did not give complete information. The 70 State agencies for which forms were missing produced a total of 1,016 publications totalling almost \$3.8 million

in printing costs in fiscal years 1988 and 1989. Forty of these agencies had not been sent a form by the VSL.

In order to ensure that the State has complete records on all publications produced by State agencies, the VSL should verify that it mails an "Agency Record of Publications" form to all State agencies. In addition, the VSL should report all agencies which do not complete the form to the Governor's Secretary to which the agency reports.

Recommendation (14). The VSL should include on its mailing list all State agencies when it distributes the "Agency Record of Publications" form.

Recommendation (15). The VSL should continue to follow-up with agencies that do not return the "Agency Record of Publications" form. After all non-responding agencies have been contacted at least once with a request to return the form, the VSL should compile a list of all agencies in each secretariat which have not returned forms or have returned incomplete forms and send this list to the appropriate Secretary. The Secretary should then direct each agency to comply with the request.

Publications to Be Sent to the VSL for the Depository System

The VSL requires agencies to send 20 copies of their publications to the VSL for the statewide depository system. The depository system consists of a network of 13 libraries throughout the State in addition to the VSL. These libraries house a complete collection of State agency publications.

Agencies send copies of their publications to the VSL. The VSL then sends the publications to each depository library and maintains two copies at the VSL for use by the public. The remaining copies are sent to the United States Library of Congress, the University of Virginia, and other states' libraries. The statewide depository system serves to decrease the copies of State publications needing to be printed and subsequently distributed since agencies can refer the public to the depository libraries rather than sending out individual copies of their publications.

The 1982 JLARC publications study recommended that the VSL clarify the types of publications needed for the depository system, but as §2.1-467.2 of the *Code of Virginia* currently directs, all documents defined as publications must be sent to the VSL for statewide distribution. Not all documents that would fall under the proposed definition of publication, however, need to be sent to the VSL for the statewide depository system. Some publications on which cost oversight is needed, such as posters and calendars, are simply not appropriate for library retention.

A number of agencies reported that they had contacted the VSL to clarify which publications need to be sent to the library. Agencies were generally told to include only documents which would be of interest or application to the general public. Publica-

tions focused solely on internal administration of an agency, such as a guide describing in-house print shop procedures, are not likely to be utilized by consumers of the VSL or the depository libraries. Therefore, it is not cost effective for agencies to send multiple copies of these very specific administrative publications to the VSL. Further, storage of only those documents which seem relevant to the general public would be a more efficient use of limited library space.

Currently, the VSL staff discards most publications it receives which are determined to be inappropriate for retention by the depository library system. Rather than destroying these documents, the VSL should return them to the submitting agency with a note explaining why they did not need to be submitted. This practice could help agencies understand what should and should not be submitted. If the cost of returning publications begins to exceed the value of the publications, the VSL should recycle appropriate publications rather than simply discarding them.

Recommendation (16). The Virginia State Librarian, with assistance from the 13 depository libraries, should develop a clear written description of the types of State publications which agencies should send to the VSL under the provisions of §2.1-467.2 of the *Code of Virginia*. The State Librarian should then seek an amendment to §2.1-467.2 of the *Code* to incorporate this clarifying description. Section 2.1-467.1 of the *Code* may also require revision to accommodate this new definition.

DEPARTMENT OF GENERAL SERVICES' DIVISION OF PURCHASES AND SUPPLY

DGS/DPS oversees the procurement of printing by State agencies. The *Code of Virginia* gives DGS/DPS broad responsibility for helping to ensure that all State publications are produced in the most economical and efficient manner possible. In doing so, it has authority to promulgate guidelines for agencies to follow in producing publications.

To follow up on recommendations made in the 1982 JLARC study related to DGS/DPS' oversight role, this study examined the adequacy of the DGS/DPS printing guidelines. In addition, DGS/DPS' training activities were examined in light of the increased delegated procurement authority allowed for all State agencies as of July 1, 1990. Finally, JLARC conducted a cursory review of the status of additional 1982 study recommendations affecting DGS/DPS.

In general, DGS/DPS has taken several steps toward improved oversight of State agency publications and printing activities. DGS/DPS printing guidelines have been clarified and strengthened in some areas. In addition, the division has increased its training of agency procurement personnel to ensure agencies' compliance with DGS/DPS guidelines. However, additional steps need to be taken to clarify current DGS/DPS practices and to increase agencies' understanding of printing practices.

Printing Guidelines

Requirements for the printing of publications are set out in the DGS/DPS *Agency Procurement and Surplus Property Manual*. These guidelines cover all aspects of printing, including selection of printing techniques, writing bid specifications, and procedures for filing complaints regarding inadequate printing jobs. Certain sections of the guidelines are not enforced as stated and should be changed to reflect current DGS/DPS policy.

Conditions Under Which Multi-Color Printing Is Allowed. DGS/DPS guidelines allow for multi-color printing of promotional publications. The 1982 JLARC publications study suggested language which defined promotional publications:

“Promotional publications are:

- produced by agencies with specific statutory authority to advertise or promote;
- designated for specified audiences outside of government;
- intended to yield significant benefits to the state; and
- produced for use in a competitive environment and as such may necessitate multiple colors and other special features.”

The 1982 JLARC suggested language was worded to require that non-promotional publications using multi-color printing would have to be accompanied by a letter of justification. The current DGS/DPS guidelines incorporate the JLARC definition of promotional publications. However, the current guidelines state that “all requests for multi-color printing must be accompanied by a letter of justification.” The provision is not restricted to non-promotional publications.

Examination of the current practices of DGS/DPS showed that division staff were not requiring a letter of justification for promotional publications. Based on a review of bid files at DGS/DPS, it appears that some promotional publications are accompanied by a letter of justification while others are not. DGS/DPS should clarify its guidelines to reflect that promotional publications do not need a letter of justification.

Authorization for Multi-Color Printing. As previously discussed, the DGS/DPS *Agency Procurement and Surplus Property Manual* states that all requests for multi-color printing “must be accompanied by a letter of justification signed by the agency head.” The 1982 JLARC report emphasized the importance of having the agency head sign off on the letter of justification for multi-color printing. This requirement ensures that an agency head is aware of and gives his or her consent to the use of the more costly multi-color printing.

In practice, DGS/DPS allows an agency head designee to sign the justification letter. Some of the case study agencies mentioned that only their agency head signs the letter of justification since the printing guidelines do not make allowances for an agency head designee to sign the letter. Other case study agencies said that they were given verbal approval from DGS/DPS to have someone other than the agency head sign the justification letter.

In keeping with current DGS/DPS practice, DGS/DPS should amend section 6.15 b of the printing guidelines to allow an agency head designee to sign the letter of justification for multi-color printing. However, the guidelines should indicate that, even though a designee can sign the justification letter, the agency head still has ultimate responsibility for the decision to print a publication using multiple colors of ink.

Recommendation (17). DGS/DPS should clarify the guidelines in the *Agency Procurement and Surplus Property Manual* to reflect its current practices. Section 6.15 b of the manual should be amended to state that: "All requests for multi-color printing of publications not meeting the definition of "promotional publication," as defined in 6.15 a, must be accompanied by a letter of justification signed by the agency head or his or her designee. If the letter of justification is signed by an agency head designee, the agency head is still responsible for the decision to print using multiple colors of ink."

DGS/DPS Training of Agencies' Printing Procurement Staff

Agencies have been given a great deal of responsibility by DGS/DPS for the procurement of publication printing. Although DGS/DPS has increased its training efforts to ensure that agencies understand the intricacies of procuring printing, some agency staff are still unclear on how the printing process works.

At the time of the 1982 JLARC study, agencies were able to procure their own printing for jobs costing up to \$500. As of July 1, 1990, DGS/DPS has given State agencies delegated authority to procure printing for items estimated to cost up to \$5,000. As such, agencies are now responsible for procuring the majority of printing for State publications. (As under the old guidelines, agencies are still required to use the Department of Corrections' print shop when appropriate, solicit three estimates from available sources when necessary, and make all efforts to obtain the lowest price possible.)

To correspond with the increased delegated authority to procure printing as well as all other goods, DGS/DPS has increased its training efforts over the past several years. DGS/DPS currently conducts a week-long procurement forum each year for all agency procurement personnel. In addition, workshops are held quarterly for new agency procurement staff. Since printing has been identified as particularly complicated to buy, printing is the only commodity that has its own training session.

Further, DGS/DPS staff will conduct a printing procurement seminar at agency offices outside of the Richmond area, if so requested by an agency. For example, DGS/DPS is scheduling a seminar for approximately 25 to 30 staff of Virginia Polytechnic Institute and State University during fall 1990.

Despite the efforts of DGS/DPS, there is still some misunderstanding among agency staff as to the steps that go into printing a publication and the effect of various printing processes on the cost of publications. To eliminate some of this confusion, DGS/DPS should develop a publication reference guide to supplement its training efforts. This guide should describe all the steps involved in preparing and printing a publication, as well as how each decision made by an agency affects the cost of a publication. In addition, cost savings tips for distribution of publications could be included in the guide. For example, when mailing publications, agencies should use fourth class postal rates whenever possible. Some agencies, such as Virginia Polytechnic Institute and State University, have developed their own reference guides for in-house staff. DGS/DPS should incorporate relevant sections from already-existing agency guides into the statewide guide.

Recommendation (18). DGS/DPS should develop a reference guide for State agencies to use in developing publications. The guide should include discussions of publication preparation, printing, and distribution and how the costs associated with each can be minimized. The reference guide should be distributed to all State agencies in conjunction with DGS/DPS' training program.

Status of Additional 1982 Study Recommendations Affecting DGS/DPS

Four additional recommendations from the 1982 JLARC publication study affect DGS/DPS. These recommendations relate to the qualifications of printing vendors, printing contracts, State agency print shops, and the State printing work provided by the Department of Corrections. DGS/DPS has taken steps to comply with all of these recommendations.

Qualifications of Printing Vendors. The 1982 JLARC study found that some agencies experienced problems with printers selected through the low bid process, generally because of poor quality work or late deliveries. To alleviate these problems, JLARC recommended that DGS/DPS intensify its efforts to qualify bidders for the bid list. It was further recommended that vendors with repeatedly poor performance be removed from the bid list permanently or for an extended period of time.

To help eliminate agency problems with printers, DGS/DPS now requires vendors to pre-qualify before being placed on the bid list. To pre-qualify, a vendor must submit a list of its equipment with the bid application. The DGS/DPS printing manager then compares the equipment list to the type of print work for which the vendor wants to bid to ensure that the vendor has the type of printing equipment

needed to perform the work. In addition, examples of the vendor's work are reviewed to ensure that the vendor is capable of quality print work.

DGS/DPS has also added a contract compliance section within the division. This section is responsible for following up on all agency complaints with vendors. Due to the unique nature of printing procurement, one staff person has been specially designated to handle printing complaints. This section periodically reports to the printing manager all vendors who have had multiple complaints lodged against them. The printing manager then examines these vendors' overall performance vis-a-vis State printing work to determine the corrective action needed. In a recent example, a printer was removed from the bid list for four-color print work after unsatisfactory performance on several State jobs.

Printing Contracts. In the initial publications study, problems were identified with the acceptance of print overruns which were not needed, and also with the coordination costs incurred by agencies who used printers in other parts of the State. Clearly articulated arrangements for handling these aspects of printing were not included in the agency printing contracts, resulting in agencies bearing the burden of these costs. JLARC therefore recommended that DGS/DPS inform agencies to specify (1) the percentage of overrun publications, if any, that will be accepted by the agency; and (2) that printers will be responsible for all coordinative costs such as pick-up and delivery of drafts, graphics, and finished products.

To address these problems, DGS/DPS now includes in each bid a clause imposing responsibility on the printer for pick-up and delivery of printing materials. In addition, the percentage of overruns, and underruns, which will be accepted by an agency is included in the bid. DGS/DPS informs agencies in the procurement manual that they do not have to accept overruns.

State Agency Print Shops. JLARC review of State agency print shop data collected by DGS/DPS for FY 1980 revealed that many agency print shops were not functioning efficiently and economically. As such, DGS/DPS was requested to perform an in-depth review of each State printing operation. The study was to recommend ways to improve efficiency and identify print shops which should be closed due to inefficiency.

DGS/DPS conducted an in-depth review of agency print shops in 1984, resulting in the recommendation to reduce or close the operations of ten of the 48 shops. According to DGS/DPS staff, three of these shops have since discontinued their operations, three reduced the scope of their operations to become duplicating shops, and four reduced personnel and updated equipment to become more efficient. DGS/DPS is currently conducting another in-depth study of print shops.

Department of Corrections Print Shop. The *Code of Virginia* and the DGS/DPS *Agency Procurement and Surplus Property Manual* require agencies to buy printing services from the Department of Corrections, whenever possible. Despite this requirement, the 1982 study found that the Department of Corrections' print shop, Corprint,

was operating at less than one-half capacity. In FY 1981, Corprint produced only \$285,000 worth of printing to State agencies and employed 20 inmates. It was therefore recommended that DGS/DPS intensify its efforts to route more printing to Corprint.

Significant progress has been made since the initial study to increase the amount of work performed by Corprint and to improve its productivity. In FY 1989, Corprint provided almost \$1.7 million worth of printing to agencies and employed between 45 and 50 inmates. DGS/DPS estimates that Corprint is operating at between 80 to 90 percent capacity now. DGS/DPS has awarded State contracts to Corprint for the printing of letterhead stationery and envelopes. In addition, DGS/DPS and Corprint are in daily contact to identify State print jobs which Corprint is capable of performing. DGS/DPS also stresses the use of Corprint by agencies in its training seminars.

Appendixes

Appendix A: Executive Branch and Independent Agency
Publications Which Cost At Least
\$10,000 to Print

Appendix B: Executive Branch and Independent Agency
Publications Printed in Quantities of
10,000 or More

Note: Appendices A and B, which are lengthy, have not been included in this report in order to save printing costs. These appendices may be obtained from the JLARC office located at Suite 1100, General Assembly Building, Capitol Square, Richmond, Virginia 23219, (804) 786-1258.

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Appendix C

Executive Branch and Independent Agency Publication Mandates Listed by Type of Mandate

Annual Reports

<u>Agency/Individual</u>	<i>Code of Virginia</i> <u>Citation</u>
Secretary of the Commonwealth	§ 2.1-68
Attorney General	§ 2.1-128
State Treasurer	§ 2.1-191
Comptroller	§ 2.1-207
Council on Human Rights	§ 2.1-720
Virginia Agricultural Council	§ 3.1-22.4
Virginia Department of Agriculture and Consumer Services	§ 3.1-22.26
Alcoholic Beverage Control Board	§ 4-13
Virginia Museum of Fine Arts	§ 9-84
Department of Forestry	§ 10.1-1103, § 10.1-1119
Air Pollution Control Board	§ 10.1-1307
Virginia Museum of Natural History	§ 10.1-2012
State Corporation Commission	§ 12.1-4
Board of Education	§ 22.1-18
Boards of Visitors of Institutions of Higher Education	§ 23-1.01
State Council of Higher Education for Virginia re: Virginia College Savings Program	§ 23-38.72
University of Virginia	§ 23-80

<u>Agency/Individual</u>	<i>Code of Virginia</i> <u>Citation</u>
State Board for Community Colleges and Virginia Community College System	§ 23-227
Science Museum of Virginia	§ 23-253
Department of Mental Health, Mental Retardation and Substance Abuse Services	§ 37.1-205.1
Governor's Council on Alcohol and Drug Abuse Problems	§ 37.1-207
Department of Labor and Industry	§ 40.1-4.1
Virginia Retirement System	§ 51-111.22
State Lottery Department	§ 58.1-4006
Virginia Racing Commission	§ 59.1-369
Virginia Employment Commission	§ 60.2-105
State Water Control Board	§ 62.1-44.40
Virginia Port Authority	§ 62.1-139
Department for the Visually Handicapped	§ 63.1-75
Industrial Commission (see "Other Reports" also)	§ 65.1-22

Biennial Reports

<u>Agency/Individual</u>	<i>Code of Virginia</i> <u>Citation</u>
Department of the State Internal Auditor	§ 2.1-234.32
Local Government Advisory Council	§ 2.1-335.1
Art and Architectural Review Board	§ 2.1-488.2:1
Council on the Environment, Subcommittee on the Preservation of Important Farmlands	§ 3.1-18.7

<u>Agency/Individual</u>	<i>Code of Virginia</i> <u>Citation</u>
Pesticide Control Board (see "Other Reports" also)	§ 3.1-249.29
Council on Indians	§ 9-138.4
Department of Labor and Industry for the Migrant and Seasonal Farmworkers Board	§ 9-152
Council on the Environment	§ 10.1-1207
State Board of Health re: Toxic Substances	§ 32.1-245
Department of Commerce	§ 54.1-114
Department of Health Professions	§ 54.1-114

Other Reports

<u>Agency/Individual</u>	<u>Type of Report (Frequency)</u>	<i>Code of Virginia</i> <u>Citation</u>
Department of Personnel and Training	State Salary Review (Annual)	§ 2.1-114.6
Governor/Department of Planning and Budget	Budget Document (Biennial)	§ 2.1-398
Virginia State Library and Archives	Catalogue of State Publications (Annual)	§ 2.1-467.7
Pesticide Control Board (see "Biennial Reports" also)	Statistical (Annual)	§ 3.1-249.29
State Corporation Commission, Bureau of Financial Institutions	Analysis of Licensee Information (Annual)	§ 6.1-301
State Corporation Commission, Bureau of Financial Institutions	Analysis of Licensee Information (Annual)	§ 6.1-418
Board of Education	Plan (Biennial)	§ 22.1-253.13:6

<u>Agency/Individual</u>	<u>Type of Report (Frequency)</u>	<u>Code of Virginia Citation</u>
Director of Personnel and Training	Teachers Salary Review (Biennial)	§ 22.1-289.1
State Council of Higher Education for Virginia	Plan (Biennial)	§ 23-9.6:1
State Council of Higher Education for Virginia	Statistical (Annual)	§ 23-9.10:4
Department of Game and Inland Fisheries	Regulations (Annual)	§ 29.1-504
State Board of Health	Statistical (Annual)	§ 32.1-14
State Corporation Commission	Insurance Guide (One time)	§ 38.2-5207
Department of Corrections	Catalogue (Periodic)	§ 53.1-54
Board of Medicine	List of Licensees (Biennial)	§ 54.1-2905
Tax Commissioner	Statistical (Annual)	§ 58.1-207
Department of Taxation	Pamphlet on Local Levies (Annual)	§ 58.1-210
Industrial Commission (see "Annual Reports" also)	Workers' Compensation Guide (One time)	§ 65.1-22

Appendix D

Current Instructions for Virginia State Library “Agency Record of Publications” Form and Suggested Changes

[Note: *Italics* indicates JLARC suggested language.]

Information should be included only on those State publications for which the printing was paid for out of funds for the fiscal year beginning July 1st, 19__ and ending June 30th 19__.

A State publication is a written product which provides information to the reader, is used by entities outside of the agency, and for which at least 50 copies are printed or reproduced, in any way, by or for a State agency in full or in part at State expense. Types of documents which may meet the definition include but are not limited to: reports, catalogues, regulations, technical manuals, employee and other newsletters, brochures, booklets, and posters. Exclude documents which meet both of the following criteria: documents which are specifically restricted to use by the agency's staff and apply only to the agency's administrative operations. Further, documents which are prepared for distribution to only a limited number of individuals named on the written document should be excluded. Types of documents to be excluded are: letters, memoranda, forms, invitations, surveys, press releases, and meeting agendas. [The definition of publication, as revised in §2.1-467.1 of the Code of Virginia, should be used.]

1. Publication title: Enter title of publication (and form number if used)
2. Frequency: Enter number of issues published *during the fiscal year each calendar year.* ~~Enter X if the number of issues varies from year to year.~~
~~Enter N/A if title is not a serial publication.~~
3. Enter date on which copies of the title were sent to the Virginia State Library in compliance with Code section 2.1-467.2. *Enter N/A if copies are not required to be sent to the VSL. Publications not to be sent to the VSL include... [to be identified by the VSL].*
4. Enter quantity printed. *For periodic publications, enter the total quantity printed of all issues. For example, if 1500 copies each of three issues were printed, enter 4500 in this column.*
5. *Printing Cost:* If printed outside agency, enter invoice cost. If printed inside agency, enter all material, labor, staff time, and binding costs incurred for the printing job. *For periodic publications, enter the total*

printing cost for all issues. NB: Note: Code of Virginia Section 2.1-467.4 reads: "Every agency shall maintain such records of the cost of printing and distributing publications, and the revenue therefrom, as are necessary to disclose the actual costs of such publication and mailing and the revenue received therefrom."

6. ~~Inventory: Enter number of copies of title on hand at time of inventory report. If copies can no longer be supplied, enter O/P.~~
7. ~~Enter location of stored inventory of title.~~
8. *Total Distribution Cost:* Enter mailing and other distribution costs for title. Note: this cost may be included on vendor's invoice. *Include the cost of postage and mailing services used.*
9. Revenue: Enter total amount of monies received from sale of title or any reimbursement received from any source *during the fiscal year.*
10. Enter "X" if publication was prepared in agency's own print shop.
11. Enter "X" if publication was prepared by requisition or contract.

Appendix E

Agency Responses

As part of an extensive data validation process, the major State agencies involved in a JLARC assessment effort are given an opportunity to comment on an exposure draft of the report. Appropriate technical corrections resulting from the written comments have been made in this version of the report. Page references in the agency responses relate to an earlier exposure draft and may not correspond to page numbers in this version of the report.

This appendix contains the following responses:

- Department of General Services
- Virginia State Library and Archives
- Department of Agriculture and Consumer Services
- Office of the Comptroller
- Department of Conservation and Recreation
- Virginia Employment Commission
- Department of Planning and Budget
- Virginia Port Authority
- Department of Transportation
- Department of the Treasury.



COMMONWEALTH of VIRGINIA
DEPARTMENT OF GENERAL SERVICES

WENDELL L. SELDON
DIRECTOR

D. B. SMIT
DEPUTY DIRECTOR

September 4, 1990

202 NORTH NINTH STREET
SUITE 209
RICHMOND, VIRGINIA 23219

(804) 786-6152 VOICE/TDD
(804) 371-8305 FAX

Mr. Philip A. Leone, Director
Joint Legislative Audit and Review commission
Suite 1100, General Assembly Building
Capitol Square
Richmond, Virginia 23219

Dear Phil:

In reply to your letter of August 22, 1990, we offer the enclosed responses to specific recommendations contained in the JLARC report, Publication Practices of Virginia State Agencies, dated August 21, 1990. DGS generally concurs with the recommendations and are pleased that the efforts by DGS/DPS since the 1982 study have been recognized.

D. B. Smit and Don Moore will be available when the report is presented to the Commission at its September 10, 1990 meeting, as I will be out of the city.

If you have any further questions, please advise.

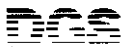
Sincerely,

A handwritten signature in cursive script, appearing to read "Wendell L. Seldon".

Wendell L. Seldon

Enclosure

c: The Honorable Ruby G. Martin
Mr. D. B. Smit
Mr. Donald F. Moore



RESPONSE OF THE DEPARTMENT OF GENERAL SERVICES
DIVISION OF PURCHASES AND SUPPLY
TO THE
JOINT LEGISLATIVE AUDIT AND REVIEW COMMISSION'S
REVIEW OF PUBLICATION PRACTICES OF
VIRGINIA STATE AGENCIES

AUGUST 21, 1990

GENERAL CONCERNS

Recommendation (2). The Secretary of Administration, with assistance from the Department of General Services, should develop suggested guidelines to be used by executive branch agencies when conducting needs assessments of agency publications. These guidelines should address how agencies can determine whether a publication is the most appropriate method of disseminating information, the minimum number of publication copies needed to disseminate information, and the most effective and least costly method of distribution.

DGS Response

CONCUR. DGS/DPS will assist the Secretary of Administration in developing publication guidelines.

Office of Graphic Communications

Recommendation (3). The Office of Graphic Communications within DGS/DPS should survey potential State agency customers to assess the demand for desktop publishing services. If significant demand is identified, OGS should consider purchasing desktop publishing equipment when funds are available.

DGS Response

CONCUR. The Graphic Communications Section installed desktop publishing equipment in their section in July 1990.

Recommendation (4). DGS/DPS should clarify section 6.7 of the Agency Procurement and Surplus Property Manual by specifying that all agencies, when planning to use a private firm for design services estimated to cost over \$750, must first contact the Office of Graphic Communications to determine whether that office can perform the needed design work.

DGS Response

CONCUR. DGS/DPS clarified Section 6.7 of the Agency Procurement and Surplus Property Manual in the July 1990 edition of the "Exchange" publication.

Recommendation (5). DGS/DPS should follow-up with agencies having promotional mandates to ensure that those agencies procure design services through the Office of Graphic Communications as required. If agencies are found to be out of compliance with section 6.7 of the Agency Procurement and Surplus Property Manual. DGS/DPS should document the non-compliance in writing and request a written response from the agency as to how the agency intends to correct the problem.

DGS Response

CONCUR. DGS/DPS will follow-up with agencies having promotional mandates and require written action plans when non-compliance is found.

General

Recommendation (6). The Secretary of Administration should attach a cover letter to the next distribution survey administered by DGS/DPS. The cover letter should direct agencies to (1) respond to the survey, and (2) unless otherwise directed by law, limit their distribution of publications to individuals specifically requesting them.

DGS Response

CONCUR. DGS/DPS will invite the Secretary of Administration to attach a cover letter to the October 1990 survey.

Recommendation (9). The Department of Waste Management should work the Department of General Services to amend the Agency Procurement and Surplus Property Manual to facilitate the use of recycled paper and incorporate recycling-related considerations into the publication and printing guidelines.

DGS Response

CONCUR. DGS/DPS would welcome the assistance of the Department of Waste Management in developing recycling guidelines for publications. While DPS concurs with the recommendation, the example of the SCATS Directory using spiral binding is not economically feasible. The additional cost for spiral binding in such large quantities would be extremely costly to product and more time consuming to remove than trimming the perfect bound books to remove the glue. These could also be included in **Recommendation 2.**

Recommendation (17). DGS/DPS should clarify the guidelines in the Agency Procurement and Surplus Property Manual to reflect its current practices. Section 6.15 b of the manual should be amended to state that: "All requests for multi-color printing of publications not meeting the definition of "promotional publication," as defined in 6.15 a, must be accompanied by a letter of justification signed by the agency head or his or her designee. If the letter of justification is signed by an agency head designee, the agency head is still responsible for the decision to print using multiple colors of ink."

DGS Response

CONCUR. The Agency Procurement and Surplus Property Manual will be amended in the next revision. DPS concurs with allowing an agency head designee to sign the letter of justification. The way the promotional publication is defined, only agencies with specific statutory authority could have a promotional publication. A listing of agencies with statutory authority should be included in this section.

Recommendation (18). DGS/DPS should develop a reference guide for State agencies to use in developing publications. The guide should include discussions of publication preparation, printing, and distribution and how the costs associated with each can be minimized. The reference guide should be distributed to all State agencies in conjunction with DGS/DPS' training program.

DGS Response

CONCUR. DGS/DPS will develop a reference guide for future training initiatives. This could be incorporated with Recommendation 2.



COMMONWEALTH of VIRGINIA

VIRGINIA STATE LIBRARY

and

ARCHIVES

ELLA GAINES YATES
STATE LIBRARIAN

(804)786-2332

August 30, 1990

Mr. Philip A. Leone, Director
Joint Legislative Audit and Review Commission
Suite 1100, General Assembly Building
Capitol Square
Richmond, Virginia 23219

Dear Mr. Leone:

The JLARC Report on State Publications has been reviewed by all involved staff. We are in agreement with Recommendations (11) through (16) which relate directly to VSL responsibilities.

The following pages reflect managements comments on each recommendation.

Sincerely,

Ella Gaines Yates
(Mrs.) Ella Gaines Yates

/mc

Recommendation (11)

Accepts: To clarify the definition will improve the VSL's ability to collect the important items. This will also alleviate a source of friction which sometimes occurs in the process of collecting publications. It is suggested, however, that this change be delayed until the VSL has time to execute recommendation (16).

Recommendation (12)

Accepts: The suggestions in Appendix D will be carefully studied and a revised form with instructions will be in place before data is collected in 1991.

Recommendation (13)

Agreed: The requirement for inventory information is unwieldy, and the information is frequently out of date when received at VSL. A change to the code is logical and would be appreciated if the General Assembly so implements.

Recommendation (14)

Accepts: The VSL includes all agencies on its mailing lists. Some forms may not reach the proper person within an agency.

Agencies could identify the staff member assigned the responsibility for completing the forms for the VSL and also notify the VSL if there is a change.

Recommendation (15)

Accepts: The VSL was without a documents librarian for an extended period of time due to low salary level prohibiting agency follow up. Regrading has been achieved, the position filled, and follow up will take place.

Recommendation (16)

To resolve the conflict between recommendation (11) and (16), it is recommended that the VSL with assistance from the depository libraries, prepare a careful revision of the definitions using Recommendation (11) as a guideline and submit the revision to the appropriate authorities for implementation.

SEP 5 1990



S. MASON CARBAUGH
COMMISSIONER

COMMONWEALTH of VIRGINIA

DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

P. O. Box 1163, Richmond, Virginia 23209

(804) 786-3501

Facsimile (804) 371-7679

August 31, 1990

Mr. Philip A. Leone, Director
Joint Legislative Audit and Review Commission
Suite 1100, General Assembly Building
Richmond, Virginia 23219

Dear Mr. Leone:

Thank you for this opportunity to review your draft report, Publication Practices of Virginia State Agencies. We concur with all paragraphs which pertain to the Virginia Department of Agriculture and Consumer Services, with the following exception:

Page 54 refers to 11 divisions; we have only six, plus the Virginia Agricultural Statistics Service. Detailed information has been submitted to the Virginia State Library on supplied forms in fiscal years 1988 and 1989, and we will be happy to review with your staff any discrepancies on the list of publications produced, cost data, etc. In at least one instance, a Division (Dairy and Foods) did not submit the form because it did not publish anything for the relevant fiscal year(s).

Please feel free to contact us if you have further questions.

Sincerely,

Handwritten signature of S. Mason Carbaugh.
S. Mason Carbaugh
Commissioner



COMMONWEALTH of VIRGINIA

Office of the Comptroller

EDWARD J. MAZUR, C.P.A.
COMPTROLLER

P.O. BOX 6-N
RICHMOND, VIRGINIA 23215

September 4, 1990

MEMORANDUM

TO: Philip A. Leone, Director
Joint Legislative Audit and Review Commission

FROM: Edward J. Mazur *ED*

SUBJECT: Cost of 1989 Annual Report of the Comptroller

I am responding to your memo of August 22, 1990, requesting our review and comment on the draft section of the JLARC Report Publication Practices of Virginia State Agencies. After reviewing the draft provided to me, there are several points that need to be made in regard to the cost of the 1989 Annual Report of the Comptroller. However, prior to discussing the cost factors, I want to clarify the purpose and uses made of the annual report to help you understand why quality and appearance, as well as content, are vitally important to the Commonwealth.

The report is an important part of our presentations to bond rating agencies. A well received annual report goes a long way toward helping Virginia maintain a AAA bond rating. The fact that the 1989 annual report has recently been awarded the Certificate of Achievement for Excellence in Financial Reporting as presented by the Government Finance Officers' Association of the United States and Canada (GFOA) is highly regarded in the minds of the bond rating agencies. In addition, a special presentation by the President and Vice President of GFOA was made to the Governor on Friday, August 24, 1990, for this outstanding award. Only 15 states have been awarded this certificate, which is based on the content, quality, appearance, user friendliness and clarity in which financial information is presented. Virginia has won this award for the past four years.

Your report mentioned that 34 pages consist of the "pictorial theme" and the statement was made that these pages do not seem integral to the purpose of this report. Half of the 34 pages were full page pictures, and the rest were narrative related to the theme. One purpose of this report is to show and sell the reader on the achievements and progress made in the Commonwealth of Virginia. Governor Baliles expressed great appreciation that his initiatives were highlighted in the report. Governor Baliles received many favorable compliments on the 1987, 1988, and 1989 reports because of their appearance and quality, and inclusion of themes on international trade, higher education and transportation, respectively. So, even though the theme is not required according to Generally Accepted Accounting Principles, using a theme does a great deal to enhance the quality and appearance of the report and enhance its value to readers.

There is also another point to be made regarding the incorporation of a pictorial theme. The use of pictures affords an opportunity to fill in pages that would otherwise be marked "This page left intentionally blank." In the 1989 report, 5 pages, out of 34 that you noted, would have been so marked had it not been for the pictorial theme inclusion.

It should be mentioned that the 1989 Annual Report compares very closely to what most other states are producing, and, in fact, may be somewhat conservative. Many other states use color pictures, die cuts, embossing, theme type pictures, and pictures of the officers of the state. No color photographs, die cuts, or pictures of officials were utilized in this report.

JLARC Staff Note: A total of eight states, including Virginia, have a triple-A bond rating from Moody's and Standard & Poor's. JLARC surveyed the seven other states regarding the costs involved in producing their FY 1989 comprehensive annual financial report (CAFR). (The Comptroller's annual report serves as Virginia's CAFR.) California did not have cost figures for FY 1989, and was therefore not included in the analysis.

Information was collected on design, printing, and distribution costs. The total cost incurred by each of the six other states ranged from \$10,200 to \$30,951, and the cost per copy ranged from approximately \$6 to \$25. Virginia had a significantly higher total cost (\$62,512) as well as the highest cost per copy (\$39). These findings indicate that it is not necessary to produce an expensive CAFR to maintain a triple-A bond rating.

Since the cost of our report is the main focus of your comments, the following points need to be clarified:

- The statement was made that the 1989 Annual Report used expensive cover and text stock. This statement was misleading in that there is no clarification in terms of dollars as to what constitutes expensive versus inexpensive cover and text stock. We have always had assurances from the Office of Graphics and Communications (OCG) that the quality of paper stock used was in keeping with the intent of the publication and not deemed excessive. The cover and text stock cost approximately \$4,000 for the production of this report. According to OCG, a savings of only 10% or \$400 would have resulted from using a lesser quality paper and cover stock and the overall visual quality of the report would have been significantly reduced.
- There was a general statement that some of the high cost publications used features, such as embossing, that added to their overall cost. The embossing on the 1989 Annual Report was not separately itemized on original bills, but according to OCG, added less than \$1,000 to the cost of the report.
- Table 4 in your report was a listing of the high cost per copy of publications. The DOA 1989 annual report shows design costs of \$36,304. In our case, this is misleading because that figure included \$15,325 for typesetting. A better presentation would be to separate the design cost into its various components such as design, typesetting, and photography.
- One misleading point was the cost per copy of \$39.07 also shown on Table 4. While this does reflect the total cost per copy of the 1,600 copies that were printed, this is not a true measure of the cost per copy for additional copies. There are fixed costs involved in preparing the report that will remain unchanged no matter how many copies are printed. Some of these fixed costs are typesetting, proofing, preparing printer's bluelines and blueline proofing, the cost of the printing and binding. All of these are required for one copy or for 100,000. To receive an additional 100 copies to increase the total produced for 1989 from 1,500 to 1,600 cost only an additional \$400, which results in a cost per copy of approximately \$4.
- It is mentioned in the report that \$15,710 were for alterations made to the typeset copy. While this is true, there were many reasons why alterations were made once the document had been typeset. In this particular report, there were several last minute changes from the Secretary of Transportation's Office that had to be incorporated. There were also last minute audit adjustments in the Higher

Philip A. Leone
September 4, 1990
Page 4

Education Section, as put forth by the Auditor of Public Accounts, which created changes on numerous pages in the report. Additionally, there was a breakdown at the typesetter's office on his equipment for five days, which meant that changes had to be made both at the typesetter and at the printer's office, which created additional cost.

- The report also mentions that an additional \$1,375 was for distribution of the report. This equates to less than one dollar per copy. This report is mailed to a number of individuals including the Governor's Economic Advisory Council, Advisory Board of Economists, Industrial Development Services Advisory Board, and Advisory Board on Revenue Estimates, as well as Members of the General Assembly, the Governor's of all states, officers of most major Virginia corporations, a large number of institutions dealing in Virginia bonds, as well as, Virginia's Senators and Representatives. The most cost efficient mailing method is used and this included the use of the United Parcel Service. A number of the reports in the Richmond area are hand delivered by staff to save on postage costs.

As was noted in our July 30, 1990, letter to Barbara Newlin, we have initiated steps with the hope of reducing future costs related to production of the annual report while maintaining the appropriate quality levels. I hope you will take the above points into consideration, as well as the revised wording on Attachment A, when completing the final version of your report. Attachment A presents suggested wording changes to the specific paragraphs that relate to the Annual Report of the Comptroller.

If you have any questions regarding any of the points discussed above, please give me or Gary Crispens, my Assistant Comptroller for Accounting and Reporting, a call. I appreciate the opportunity to review a draft and respond accordingly. Thank you for your consideration.

EJM/btm

cc: Danny M. Payne
Deputy Secretary of Finance
Barbara A. Newlin, Senior Division Chief
Joint Legislative Audit and Review Commission
Linda E. Bacon, Senior Legislative Analyst
Joint Legislative Audit and Review Commission
Gary P. Crispens
Assistant Comptroller
James W. Fisher, Director
Administrative Services

Attachment A

The Code of Virginia requires the State Comptroller to produce an annual report, which also serves as Virginia's comprehensive annual financial report. The FY 1989 Annual Report was printed in two colors, using ~~expensive~~/quality cover and text stock. The center of the cover was embossed with a graphic ~~depicting~~/highlighting the suspension bridge on Interstate 295, complementing the theme of the report -- transportation. The report contains 179/173 pages, 34 of which ~~consist of~~/relate to the "~~primary~~/theme of [the] report - transportation in Virginia. Of these 34 pages, 17 were full page pictures." These additional pages do not seem integral to the purpose of the report.

The Department of Accounts (DOA) printed 1,600 copies of the 1989 Annual Report at a cost of \$24,833. ~~Extensive~~/Design costs totalling \$36,304 were also incurred in production of this report; \$18,052 of which was for Office of Graphic Communications design and layout work, and \$15,325 was for typesetting. Of the \$36,304 the DOA spent designing its report, \$15,710 was for alterations. Almost one-half of the alterations were from changes made to the typeset copy. Some of these changes were related to last minute audit adjustments, changes by the Secretary of Transportation's office, and normal error correction. The department spent an additional \$1,375 for distribution of the report///, or 86 cents per copy. The most cost efficient means of distributing the reports was utilized. The report cost \$39.07 per copy to design, print, and distribute///, based on total costs divided by the 1,600 copies printed. Additional copies could have been purchased for under \$4.00 per copy, due to fixed typesetting, proofing, printing, binding, and layout costs. According to the Comptroller, the DOA ~~is currently examining~~/has examined ways to decrease the cost of its next annual report, and has prepared a list of cost saving actions to be undertaken.

C. LEYNES, JR.
Director



ADMINISTRATION
NATURAL AREAS CONSERVATION
PLANNING AND RECREATION SERVICES
SOIL AND WATER CONSERVATION
STATE PARKS

COMMONWEALTH of VIRGINIA

DEPARTMENT OF CONSERVATION AND RECREATION

203 Governor Street, Suite 302

TDD (804) 786-2121

Richmond, Virginia 23219 (804) 786-6124

FAX: (804) 786-6141

M E M O R A N D U M

DATE: August 30, 1990

TO: Phillip A. Leone

FROM: B. C. Leynes, Jr. *BCJ*

SUBJECT: Draft, Publication Practices of Virginia State Agencies

We appreciate the opportunity to review sections of the above report that relate to our Department's publications.

Page 22 of the proposed draft relating to High Cost-Per-Copy Publications identifies the Virginia Outdoors Plan (VOP) as one which the "Cost Appears Excessive" and a comment is made that the "full- color cover not warranted."

I hope the following descriptions of the VOP will be helpful in clarifying that document's uses, and explaining the reasons for the printing formats employed.

1. The VOP is a federally required plan that must be updated and printed every 5 years to qualify the Commonwealth and in turn the Commonwealth's local governments for federal Land and Water Conservation Funds. This fund is one of the primary funding sources for the acquisition and development of recreational and park properties and facilities. The National Park Service may reject a state's plan or approve the plan for a period of 1 to 5 years. Rejection or less than 5 year approval requires a repeat and duplication of staff research and preparation efforts and obviously a repeat of the printing costs to reapply for federal approval.

2. The Commonwealth of Virginia is in competition with the other states for the federal Land and Water Conservation Fund dollars. The VOP contains a large number of maps depicting the geographical dispersion of existing and potential outdoor recreation resources. Only the Regional maps and a very small number of other complex maps are in color. All other maps and all photos are black and white. This is the same format used in previous VOP publications in 1979 and 1984. Such graphics have decreased in cost over the years as printing techniques improve. The use of such visuals and occasional color have become expected in such publications to provide greater clarity and ease of understanding. Our plan must appear as professionally crafted as those of our competition.

3. The VOP is used as a promotional publication to publicize Virginia's Outdoor Recreational System needs to the profession, elected and appointed governmental officials, and the interested general public at the national, state, regional and local levels. It is intended to attract attention and to convey a professional appearance.

4. The cost of full color on the cover was estimated as costing an additional \$800.00. For a publication of this size, importance to continued state funding, and printing cost this additional cost represents a relatively moderate increase of 1.7 percent.

For these reasons, we believe the VOP to be somewhat different from other publications produced on an annual basis, those serving as a convenient reprint of the Code of Virginia, and those not required to obtain federal funding approval. That said, I assure you that we will continue to weigh the cost of such creative additions in all future publications of the VOP. For the record, Virginia has received the full 5 year federal approval on each VOP submittal including this version which is now approved through 1994.

If the explanations above clarify the reasons for how and why the VOP is printed to your satisfaction, a removal of the Cost Appears Excessive label and the Comment would be appreciated. I'll be glad to have my staff discuss the merits with yours. Again thank you for the opportunity to propose our reasons to you.

CC: Jerald F. Moore
Arthur H. Buehler



COMMONWEALTH of VIRGINIA
Virginia Employment Commission

lph G. Cantrell
mmissioner

703 East Main Street
Richmond, Virginia 23211

P. O. Box 1358
Richmond, Virginia 23211

August 31, 1990

MEMORANDUM

TO: Mr. Philip A. Leone, Director
Joint Legislative Audit and Review Commission

FROM: Ralph G. Cantrell *RC* Commissioner

SUBJECT: The Virginia Employment Commission's Publication
Practices - The Precedent Decision Manual

This memorandum is in response to your August 22, 1990 letter regarding the purpose and publication cost of the agency's Precedent Decision Manual.

The enclosed draft section on the Manual has been reviewed and is factual as far as it goes. I would, however, prefer that the following paragraph be substituted, in your report, for that section.

The Virginia Employment Commission (VEC) produces the Precedent Decision Manual which is a current and complete body of unemployment insurance (UI) case law in Virginia. This Manual contains some 320 decisions related to UI and is used by UI benefit claims adjudicators as a guide in decision making. Its purpose is to educate professional adjudicators, guide interested parties and their representatives, inform students and the general public of case law in Virginia affecting claims for UI and to use as a research tool by claimants, employers and their representatives. The agency prints as a minimum no more than 40 manuals per year. One printing run in FY 1990 produced 30 copies at a cost of \$802.00 (\$26.73 per copy). The expense



Mr. Philip A. Leone
Page 2
August 31, 1990

of the publication is due to its length; the manual consists of approximately 1,200 pages. Until July, 1990, the manual was photocopied in-house on to standard copier paper. However, due to the elimination of VEC's print shop for cost effective reasons and the document size, future copying of the document will be done by outside printing services. Extreme costs prohibit including binder or divided tabs with the document.

During FY 1990 Report on State Publications we had some ten requests for copies of this Manual from law firms, accountants, employers and their attorneys and certain interest groups, e.g. Virginia Manufacturers Association and the AFL-CIO. The agency charged \$92.00 for distribution costs for total revenue of \$950.00.

I appreciate the opportunity for review and comment. If you need additional information or clarification please call Mr. Joseph L. Hayes, Senior Administrative Law Judge, in my office at 786-7554.

Enclosure



COMMONWEALTH of VIRGINIA

Department of Planning and Budget

WARREN F. WASHBAUM
DIRECTOR

POST OFFICE BOX 1422
RICHMOND, VIRGINIA 23211

October 18, 1990

Mr. Philip A. Leone
Director
Joint Legislative Audit and Review Commission
Suite 1100, General Assembly Building
Richmond, Virginia 23219

Dear Phil,

Now that I have had an opportunity to fully review the Commission Draft of your report, *Publications Practices of Virginia State Agencies*, I would like to offer some comments related to DPB's budget document, which is included in the report's list of publications with an unjustifiably high cost.

DPB, of course, shares the concern of JLARC about the cost of the budget document. It was for this reason that three years ago, with the 1988 budget document, DPB took action to save approximately \$15,000 annually by no longer typesetting the publication. The document is now produced largely on Wang word-processing equipment.

Your report cites "expensive cover stock and variable paper types" as the reason for the high cost for this publication. We believe that the main reason for the cost of the budget document is not special printing techniques or paper stocks, but the rapid turn-around schedule and the season of the year in which it is printed. In 1988, DPB was able to find a quick-copy printer to reproduce the document at low cost (just over \$5,000). In the two years since then, DPB has been unable to attract a low-cost printer to bid on the document. The timing of the opening of the General Assembly necessitates that the budget document be printed over the Christmas and New Year's holidays, which means premium rates for holiday overtime work by staff at the printing firm. DPB has been told by several printing companies that they are simply not interested in the work during the holidays. For the past two years, unfortunately, there has been only one bidder for the budget document -- and that printer's bid (over \$25,000 in 1989 and over \$27,000 in 1990) reflects the fact that he is the "only game in town" willing to tackle the job over the holidays.

We are continuing to seek ways to reduce the cost of printing the budget document, and are this year investigating different binding techniques and other approaches which may make the publication more attractive to a variety of printers.

I believe JLARC has mistakenly included two DPB publications in your list of high cost-per-copy publications. Your list includes *Leading the Way: 1988-90 Amendments* (the budget document published in January 1989) and *Budget Document 1990-92* (the budget document published in January 1990). First, let me note that this second publication does not fall within the

Mr. Philp A. Leone
October 18, 1990
Page 2

time period of your table (July 1, 1988 to Dec. 31, 1989) since it was printed and released in January 1990. Second, you have, in effect, included two editions of the same publication -- which presents the misleading impression that DPB produces several high-cost publications. I notice that your list cites only one publication in the case of the Departments of Accounts and Treasury, which produce mandated annual publications released at the same time each year as DPB's budget document.

There are also several minor errors which you may want to correct in the final report:

- 1) In Appendix B, Publications Procured through the Department of General Services Which Were Printed in Quantities of 10,000 or More, on page 23, you say the Department of Planning and Budget published 100,000 copies of an "employee handbook." We did not publish such a handbook. The Department of Personnel and Training publishes the employee handbook.
- 2) Appendix C, Executive Branch and Independent Agency Publication Mandates, fails to list the budget document produced annually by DPB on behalf of the Governor as a mandated publication. The document is required in Section 2.1-398 of the *Code*, separately from the budget bill (which is mandated in Section 2.1-399).
- 3) On page 26 of the report, in a discussion of the budget tabloid, you say the publication was produced in December 1989. The tabloid was printed in January 1990. (Camera-ready mechanicals were not sent to the printer until Dec. 27, 1989, presses began to roll until after New Year's Day, and the first copies were delivered from the printer on January 8, 1990.)

Thank you for the opportunity to comment.

Sincerely,



Karen F. Washabau



COMMONWEALTH of VIRGINIA

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J. Robert Bray
Executive Director

MEMORANDUM

To: Linda Bacon, Joint Legislative
Audit and Review Commission

From: Katherine D. O'Neal, Deputy Executive
Director for Administration *K.D. O'Neal*

Date: September 4, 1990

Subject: VPA Response to Publication Practices
of Virginia State Agencies

Thank you for allowing the Virginia Port Authority to expand on its response to the above referenced report. The attached is the information we would prefer to include.

cf
Attachment

VIRGINIA PORT AUTHORITY
PUBLICATION PRACTICES

The Virginia Port Authority contracts with a private advertising firm to provide promotional services for the Ports of Virginia. Under the terms of this contract, VPA may request the advertising agency to provide collateral advertising materials which respond to the highly competitive nature of the port industry. These collateral materials include brochures and maps used for specific marketing purposes and which may promote specific services and facilities offered at state-owned marine terminals. These collateral materials must provide a medium through which the Ports of Virginia attain a high profile, and they must often be available on very short notice in order to respond to cyclical changes within the port industry.

Quality and timing are the two most important factors in the delivery of VPA collateral marketing materials:

Quality

A consistent and high quality communication message is required to enhance and guarantee the advertising program of the Virginia Port Authority and its marine terminals in order to position the Port of Hampton Roads as a preeminent port among the East Coast competition. The Fortune 500 companies and some 10,000 additional accounts which utilize Virginia's port system are accustomed to high quality, consistent, and closely integrated advertising messages.

A comprehensive advertising program directed at this broad market must consist of industry-specific messages which attract and retain the attention of the port industry. The advertising program and its collateral materials must promote a consistent message and must contain a visually consistent message for port users. Visual consistency is of prime importance and can only be obtained from high quality advertising and promotion companies which maintain professional and creative staff with expertise in specific promotional areas

A consistent and high quality promotional image must be maintained in the port industry in order for a port to promote its unique and very costly facilities. Moreover, a port must also promote its unique services. A specialized and consistent advertising program is often the only way a port can obtain a competitive edge over its neighboring states' ports.

Where the costs to move cargo are relatively the same from port-to-port, a single port must design a specialized top quality and consistent advertising message to gain attention in areas that do not necessarily equate to the cost of moving cargo. Seasoned advertising firms not only are conversant with the industry's specific language used in the port business but also have access to ongoing maritime market trends and the research needed to identify the cyclical changes within the port business.

Timing

Because of these cyclical trends, VPA is often required to provide specialized marketing collateral materials on short notice in order to promote a specialized facility or service. Oftentimes, collateral materials must be produced and available in order to answer a specific promotional program of a competing port.

A recent example of the importance of timing is seen in some of the promotional programs of the Port of Baltimore where it has specifically attacked the cost effectiveness and timelessness of moving cargo through the Virginia Inland Port. VPA has found it necessary to promote collateral materials on very short notice which specifically address the advantages and services of the Virginia Inland Port.



COMMONWEALTH of VIRGINIA

DEPARTMENT OF TRANSPORTATION

1401 EAST BROAD STREET

RICHMOND, 23219

August 31, 1990

RAY D. PETHEL
COMMISSIONER

Mr. Philip A. Leone, Director
Joint Legislative Audit and Review Commission
Suite 1100, General Assembly Building
Capitol Square
Richmond, Virginia 23219

Dear Mr. Leone:

I appreciate your letter of August 22 and the opportunity to comment on the draft section of the report on publication practices in Virginia state government.

The tabulation which you provided lists three publications of the Department of Transportation (VDOT). The one page of narrative which accompanied your letter does not specify VDOT by name, but in the first paragraph does apparently refer to us in saying that "...one State publication costs \$85 per copy to print."

That presumably is a reference to our Highway Laws of Virginia (1988), which, along with the Highway Laws Supplement (1989), is shown in the tabulation as a "high cost-per-copy" publication. It is erroneous to imply that these costs are solely for printing.

The costs for each of these documents include the labor and materials required for the Michie Company to research legislation actions and revisions to the Code of Virginia, as well as the actual printing and binding. Both books are completely typeset, not photocopied, using the standard legal format for law-related reference books. The number and complexity of revisions each year, and thus the cost, depend upon the number of statutory changes made by the General Assembly.

Approximately 100 of the 500 copies ordered are delivered to the office of the Attorney General, as requested. The remaining books are distributed to members of the Commonwealth Transportation Board and to VDOT's key managers in Richmond, our nine districts, and our 45 residencies. These individuals must be knowledgeable about a wide range of statutes, from outdoor advertising and procurement to right-of-way acquisition and construction contracts.

Mr. Philip A. Leone
Page 2
August 31, 1990

Two years ago, in an effort to reduce the costs associated with compiling and publishing the Highway Laws, we converted from a hard cover to a soft cover, with a recurring savings of about \$1,400 each time the book is published. The intent of the Supplement, of course, is to avoid the costs which would be associated with revising the book following every session of the General Assembly.

My main point with respect to these publications, however, is that it is incorrect and misleading to assign the full cost to "printing" when the research and compilation is a principal element.

The third VDOT publication included in the tabulation, the 2010 Statewide Highway Plan, was prepared in response to a legislative mandate for a comprehensive review of statewide construction needs on all highway systems every five years. The reports are distributed in limited quantities to local governments, legislators and other state governments; they are made available at cost to the general public and others. Thus far, approximately 75 copies of the new reports have been sold.

In 1984, VDOT produced a statewide highway plan consisting of 22 volumes (8 1/2" by 11" in size), along with a summary report. Each volume represented a planning district, and each report had multiple maps with color overlays. The 1984 documents were too small to incorporate maps understandable by the general public. Based on that experience, a larger size (11" by 17"), with folded maps, was used for the current report to improve clarity. The number of volumes was reduced to nine, one for each highway district, and the separate summary was eliminated by including brief summary data in each of the nine books.

Another problem with the 1984 publication was that the cover material did not hold up well under frequent use. As I noted earlier, this document is in active use for five years. Thus, a heavier cover was used this time for greater durability. Printing on one side of the paper was recommended by the printer to eliminate a "bleed through" problem in the earlier documents. It was also based in part on the printer's determination that with small press runs (300 copies per volume), there would be no cost savings from printing on both sides.

Mr. Philip A. Leone
Page 3
August 31, 1990

I do not necessarily disagree with the JLARC comments regarding the use of the three-color cover and wide margins. However, I would point out that while these are technical documents, they are in use for a long time period and have fairly wide public interest to those people interested in transportation, such as economic development, real estate, and local planning. We tried to make them suitably identifiable through a unique design and we made an explicit decision they should be in color. I believe that was the process recommended by JLARC in its earlier report. I believe this is a matter of individual and agency judgment.

Again, I appreciate the opportunity to comment on the JLARC draft, and I look forward to the final report.

Sincerely,

A handwritten signature in black ink, reading "Ray D. Pethtel". The signature is written in a cursive, flowing style. The first name "Ray" is written with a large, looped "R". The last name "Pethtel" is written with a large, looped "P" and a trailing flourish.

Ray D. Pethtel, Commissioner



COMMONWEALTH of VIRGINIA

Department of the Treasury

EDDIE N. MOORE, JR.
TREASURER OF VIRGINIA

P.O. BOX 6-H
RICHMOND, VIRGINIA 23215
(804) 225-2142

August 27, 1990

Mr. Philip A. Leone
Director
Joint Legislative Audit and Review Commission
Suite 1100, General Assembly Building
Capitol Square
Richmond, Virginia 23219

Dear Mr. Leone:

In response to your letter regarding the Joint Legislative Audit and Review Commission (JLARC) draft report Publication Practices of Virginia State Agencies, the Department of the Treasury's publication costs information is factually accurate. While the Department of the Treasury attempts to reduce the costs associated with the Annual Report, it is imperative that we produce a quality product.

This statutorily-mandated report is one source of information used by the rating agencies to analyze the Commonwealth and its debt capacity. The maintenance of Virginia's triple-A bond rating is critical to the Commonwealth's ability to borrow funds at lower interest rates. The report also provides state and local officials, as well as underwriters, bankers, and bond counsel, a clear and comprehensive picture of bonded debt and investment activity within the Commonwealth.

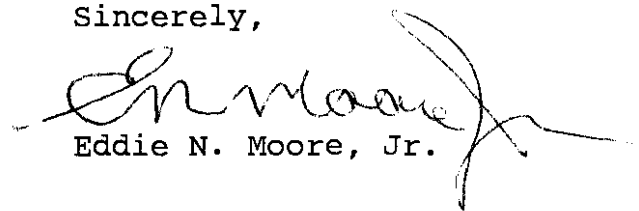
The number of Annual Reports produced in 1989 was decreased from 1600 (1988) to 1000 copies to reduce total costs. The cost-per-copy (used in the JLARC study as the measure of excessive cost) increased due to fixed design costs and a reduction in the quantity discount. Based on bids received, 1500 copies would have reduced the cost-per-copy by \$7.39 per report. However, we reduced total costs by \$2,418 through a reduction in the number of copies ordered. We were also adversely affected by the 46% overall increase last year in design costs charged by the Department of General Services, which is an increase in cost to our agency but not to the Commonwealth as an entity.

Mr. Philip A. Leone
August 27, 1990
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Last year we began typesetting all of the financial and statistical statements through the use of in-house desktop publishing. The Department of the Treasury also uses third class mail instead of first class mail. Our goal for the 1990 Annual Report is to reduce total costs by 5%. The Report will not include die cuts, embossing, and pages specially trimmed and inked. The use of variable paper and two color ink will also be reduced, and a lower grade paper will be used this year.

The Department of the Treasury will continue to look for ways to reduce the total costs of producing the Annual Report. However, we must focus on maintaining a quality product to promote the Commonwealth's fiscal position. We hope you will take this into consideration in your report.

Sincerely,

A handwritten signature in dark ink, appearing to read "E. N. Moore, Jr.", with a long, sweeping horizontal line extending to the right.

Eddie N. Moore, Jr.

ENM:sfd

cc: The Honorable Paul W. Timmreck
Secretary of Finance
Ronald L. Tillett
Deputy Treasurer

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Recent JLARC Reports

Special Report: Patent and Copyright Issues in Virginia State Government, March 1985
Virginia's Correctional System: Population Forecasting and Capacity, April 1985
The Community Diversion Incentive Program of the Virginia Department of Corrections, April 1985
Security Staffing and Procedures in Virginia's Prisons, July 1985
Towns in Virginia, July 1985
Local Fiscal Stress and State Aid: A Follow-up, August 1985
1985 Report to the General Assembly, September 1985
The Virginia Housing Development Authority, October 1985
Special Report: Cousteau Ocean Center, January 1986
Staff and Facility Utilization by the Department of Correctional Education, February 1986
Funding the Standards of Quality - Part I: Assessing SOQ Costs, February 1986
Proceedings of the Conference on Legislative Oversight, June 1986
Staffing of Virginia's Adult Prisons and Field Units, August 1986
Deinstitutionalization and Community Services, October 1986
The Capital Outlay Planning Process and Prison Design in the Department of Corrections, December 1986
Organization and Management of The State Corporation Commission, December 1986
Local Jail Capacity and Population Forecast, December 1986
Correctional Issues in Virginia: Final Summary Report, December 1986
Special Report: Collection of Southeastern Americana at the University of Virginia's Alderman Library, May 1987
An Assessment of Eligibility for State Police Officers Retirement System Benefits, June 1987
Review of Information Technology in Virginia State Government, August 1987
1987 Report to the General Assembly, September 1987
Internal Service Funds Within the Department of General Services, December 1987
Funding the State and Local Hospitalization Program, December 1987
Funding the Cooperative Health Department Program, December 1987
Funds Held in Trust by Circuit Courts, December 1987
Follow-up Review of the Virginia Department of Transportation, January 1988
Funding the Standards of Quality - Part II: SOQ Costs and Distribution, January 1988
Management and Use of State-Owned Passenger Vehicles, August 1988
Technical Report: The State Salary Survey Methodology, October 1988
Review of the Division of Crime Victims' Compensation, December 1988
Review of Community Action in Virginia, January 1989
Progress Report: Regulation of Child Day Care in Virginia, January 1989
Interim Report: Status of Part-Time Commonwealth's Attorneys, January 1989
Regulation and Provision of Child Day Care in Virginia, September 1989
1989 Report to the General Assembly, September 1989
Security Staffing in the Capitol Area, November 1989
Interim Report: Economic Development in Virginia, January 1990
Review of the Virginia Department of Workers' Compensation, February 1990
Technical Report: Statewide Staffing Standards for the Funding of Sheriffs, February 1990
Technical Report: Statewide Staffing Standards for the Funding of Commonwealth's Attorneys, March 1990
Technical Report: Statewide Staffing Standards for the Funding of Clerks of Court, March 1990
Technical Report: Statewide Staffing Standards for the Funding of Financial Officers, April 1990
Funding of Constitutional Officers, May 1990
Special Report: The Lonesome Pine Regional Library System, September 1990
Review of the Virginia Community College System, September 1990
Review of the Funding Formula for the Older Americans Act, November 1990
Follow-Up Review of Homes for Adults in Virginia, November 1990
Publication Practices of Virginia State Agencies, November 1990



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