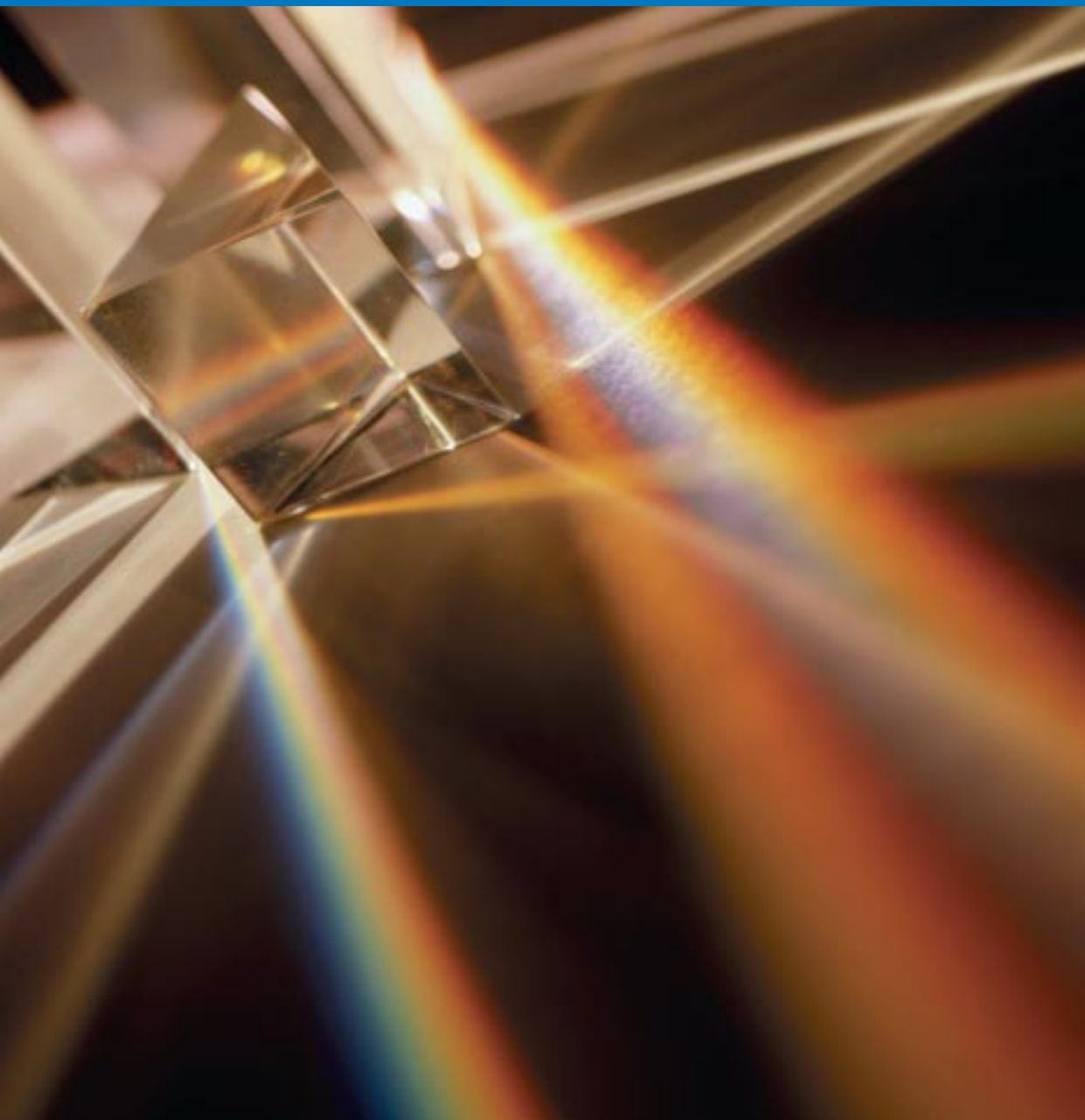


DESIGN FOR A HIDTA/OCDETF PERFORMANCE MONITORING AND MANAGEMENT SYSTEM

Technical Report



TECHNICAL REPORT

**DESIGN FOR A HIDTA/OCDETF
PERFORMANCE MONITORING AND
MANAGEMENT SYSTEM**

Office of National Drug Control Policy
Executive Office of the President
Washington, DC 20503

January 2003

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EXECUTIVE SUMMARY

BACKGROUND

The HIDTA/OCDETF Performance Monitoring and Management System project represents the shared commitment of the White House Office of National Drug Control Policy (ONDCP) and the U.S. Department of Justice (DOJ) to develop a method to examine the accomplishments of two major drug enforcement programs: the High Intensity Drug Trafficking Area (HIDTA) and the Organized Crime Drug Enforcement Task Force (OCDETF) programs.

The mission of the HIDTA program is to eliminate or reduce drug trafficking and its harmful consequences in critical regions of the United States. The mission of the OCDETF program is to disrupt and dismantle major drug trafficking organizations (DTOs) and related criminal enterprises. The OCDETF program provides a platform for Federal, state, and local LEAs to work together to target well-established and complex organizations that direct, finance, or engage in illegal narcotics trafficking and related crimes.

In some regards HIDTAs and OCDETFs are very similar entities. Both target DTOs involved in the production, transfer and distribution of illegal drugs. Both are intended to encourage and support interagency law enforcement coordination, and involve prosecutors early in the investigation process. Both programs share the same primary objective: to disrupt and dismantle drug trafficking and money laundering organizations. In general, OCDETFs focus exclusively on higher-level, multi-jurisdictional DTOs, while HIDTAs can focus on specific types of drug trafficking activities (e.g., production, transport, distribution, or profits).

DOJ and the ONDCP face a major challenge in developing and obtaining agreement on performance goals and measures in cross-cutting areas such as those addressed by the HIDTA and OCDETF programs. The purpose of the HIDTA/OCDETF Performance Monitoring and Management System project is to support and guide the development of an interagency performance measurement system to help gauge the effectiveness of the two programs.

Project Design

The project includes two major tasks: (1) to identify law-enforcement program measures specifically relevant to HIDTA and OCDETF, and (2) to recommend a method for implementing a management, reporting system for the two programs. CSR's contract that produced this report specifically states that "this project is the first step in what ONDCP and DOJ envision to be a long-term implementation of a performance monitoring system for law enforcement joint task force efforts, such as HIDTAs and OCDETFs." This initial design phase will be field tested on several HIDTA and OCDETF programs.

Government Performance and Results Act: The Impetus for Measurement

This project was heavily influenced by the Government Performance and Results Act (GPRA) of 1993. GPRA requirements dictate several important components that must be addressed in measuring a program's performance: a mission statement covering the program's major functions and operations; a clear understanding of long-term, outcome-related goals and objectives; a description of how the program's goals and objectives will be achieved, including the resources and activities required to meet the goals and objectives; and the identification of factors outside the control of the program that could affect the achievement of the long-term goals and objectives.

Purposes of the Proposed Performance Monitoring System

The key elements of the performance monitoring and management system developed for the HIDTA and OCDETF programs will (1) provide information on how the program is operating; (2) determine whether, and to what extent, program objectives are being achieved; and (3) identify successes and failures to produce program outcomes, for use in managing and redesigning program operations.

PRESENTATION OF PROGRAM MODELS FOR HIDTA AND OCDETF

This report presents a model of each program to illustrate how the HIDTA and OCDETF programs work to achieve their intended objectives. Each model starts with desired program changes, presents the inputs or resources of the program, and shows how the program works through planned activities or processes to produce outputs, outcomes, and impacts.

Several operational issues were taken into consideration in developing each model. Each model includes the following program components.

- *Resources*—include funding, personnel, facilities, equipment, and supplies.
- *Program activities*—are actions taken to execute policy and program objectives. Particularly at the beginning of a program, activities may include development of an infrastructure (e.g., forming/negotiating relationships among agencies, capacity building). Ongoing activities may include program components, such as delivery of a training program, or program initiatives, such as the operation of a task force.
- *Outputs*—reflect internal activities and are the direct results of program activities. They are intended to fulfill program objectives and can usually be expressed quantitatively, e.g., number of people who completed a training program, number of arrests resulting from a task force investigation, rate of convictions from prosecution of members of a DTO.

- *Outcomes*—are the results of program outputs or products that signify progress toward program goals. Outcomes are usually expressed as an intended change, such as better-trained law enforcement officers, disruption of a drug-trafficking ring, or closing down of a money laundering operation.
- *Impacts*—are the broader, sometimes indirect effects of policies and programs. Impacts may be reflected in measures external to the program, (e.g., lower drug crime rate or lower violent crime rate) as measured by a jurisdiction’s annual crime report, or reduced availability of a drug or lower emergency room admissions for drug-related causes.

PERFORMANCE MEASURES

After the program is defined through the program model, the next step is to select measures of performance. A variety of data sources need to be identified and developed to measure the performance of the HIDTA and OCDETF programs. Quantitative data exist in many current sources, including HIDTA and OCDETF program reports and management information systems, and in other national and local reporting systems. Qualitative assessments of performance support a better understanding of the “hard” numbers and strengthen program managers’ ability to assess performance. This kind of information can be collected through interviews and group discussions, from intelligence reports and reports developed by groups engaged in community-based research.

The proposed measures for the HIDTA and OCDETF programs focus on outcomes and impacts. With limited Federal, state, and local resources to combat the problems associated with drug use, achievement of success must be measured in these terms. At the same time, the performance monitoring and management system design must recognize that the GPRA and the Office of Management and Budget (OMB) require that program resources, activities, and partners also need to be documented.

The performance monitoring and management system builds its foundation with the use of existing reporting systems, both internal and external to the HIDTA and OCDETF programs. Two fundamental principles guide the implementation of the performance monitoring and management system: (1) to make it a useful management tool for HIDTA and OCDETF program managers at each level in the organizations; and (2) to balance reporting requirements from the field with appropriate feedback from headquarters.

Much of the data to measure the performance of HIDTAs can come from four annual reports to ONDCP: Annual Report, due April 15; Threat Assessment, due May 15; Strategy, due June 15; and Initiatives/Budget, also due June 15. The Annual Report contains information on major DTOs that were targeted in the previous 12 months and reports program outputs, outcomes, and impacts. The other three reports provide information on program activities. The Threat Assessment describes the illicit drug-related activities that affect the HIDTA

region. The Strategy is the HIDTA's plan to reduce the identified drug threat in the region. It reports on a number of factors centered on coordination of efforts and sharing of intelligence and information. The Initiatives/Budget submission documents both resources and outcomes. Initiatives planned for the upcoming year are submitted with projected funding requirements. Each initiative approved for funding must be accounted for in the following year's Initiatives/Budget submission, including outcomes and accounting for funds.

Much of the data for the OCDETF Performance Measurement System will come from four forms that are submitted on each OCDETF case: Investigation Initiation Form (IIF); Indictment and Information Forms (Part A Case; Part B Defendant); Disposition and Sentencing Report; and OCDETF Closing Report. The forms are submitted from the field for entry in the OCDETF management information system. As the name suggests, the forms are submitted at different points as the case progresses. The information they provide is important for measuring program activities and outcomes.

IMPLEMENTING THE PERFORMANCE MONITORING AND MANAGEMENT SYSTEM

Implementation of the Performance Monitoring and Management System should include program staff in Washington and in the field who will be involved in operation of the system (i.e., system users at all levels). For the HIDTA program, this includes representatives from the ONDCP HIDTA Program Office, HIDTA Executive Boards, and HIDTA Directors. Representation of program staff for the OCDETF program is somewhat more complex because of the number of agencies involved and the layers in the program. In Washington, the OCDETF Executive Office must be involved, including staff responsible for the MIS. The Washington Agency Representative Group (WARG) should also be involved because the Program Guidelines specifically charge the WARG with disseminating performance measures and monitoring achievement. At the Regional level, representation should come from Advisory Councils, which are responsible for the Annual Strategic Plan for their Regions, and from Regional Coordination Groups, which are responsible for submitting all reports on OCDETF cases. In addition to representatives from U.S. Attorneys Offices, representatives should include Special Agents in Charge from the various agencies involved in typical OCDETF cases.

Refinement and testing of the draft performance monitoring and management system will involve careful planning; continued commitment to involving all participants who understand and support the system; responsible testing of the system; and training of staff at the national, regional, and task force levels to ensure that the information produced is reliable and used in a proper manner.

Four distinct, yet interrelated activities will guide the implementation phase:

- Prioritize the outcomes to measure;

- Specify measures and data sources;
- Pilot-test the performance monitoring and management system; and
- Prepare a detailed work plan.

Prioritize the Outcomes to Measure

It will be important to prioritize, or rank order, those outcomes or results that should be the focus of measuring program performance. These decisions must be guided by the legislative mandate for each program, input from program managers regarding ongoing and new program initiatives, congressional oversight concerns, and a host of other considerations that are important to the HIDTA and OCDETF program strategies. The following steps should be taken in deciding on the outcomes to be measured:

- Obtain input from key decision makers concerning the most important program outcomes to be measured;
- Refine the program models already developed and have them stand the test of approval from agency and program leadership; and
- Agree on the specific methods to be used to measure the program.

The task of prioritizing outcomes will force the key players to focus on what is important to measure.

Specify Measures and Data Sources

Some outcomes are fairly easy to observe, count and measure, such as the number of drug-related deaths, the number of homicides, the number of drug-related arrests, the number of prosecutions and indictments, and the number of convictions occurring in a given year in a particular county. Typically, these measures are used because they are collected on a fairly uniform basis across the country. However, many outcomes related to HIDTA and OCDETF missions are not concrete enough to measure directly. Several other considerations should be used to guide the selection of measures:

- Confirm that there is at least one measure for each prioritized outcome;
- Ensure each measure reports a tangible outcome; and
- Make sure that the information reported is clear and enables the program manager to count important facts.

Once the outcomes to be measured have been ranked, and the measures have been identified, the basic ingredients of the performance monitoring and management system are in place. The next step is to identify data sources and data collection methods. Decisions have to be made about how to collect the information and how to make sure it is accurate and current.

Several criteria should guide the decision on new data collection systems, including:

- Is the data collection method feasible and affordable? Is there a less costly way to collect the information?
- Will the resulting data be useful to program managers for program improvement?
- Will the resulting data be credible to those outside the specific HIDTA or OCDETF operation who are making decisions about program priorities and funding?

Pilot-Test the Performance Monitoring and Management System

The pilot test will provide an opportunity to identify issues regarding the practicality of the system and to understand the value-added benefit of the measurement system. The pilot test will also provide an opportunity to identify unanticipated outcomes, identify measures that need better definition and data collection procedures that require further streamlining, and document reporting problems. The pilot will enable ONDCP and DOJ to identify potential problems, introduce improvements and increase the usefulness of the system to management.

The pilot test should monitor the following:

- How much time is spent on data collection, including collecting data from existing records/data sources, interviews, and other field data collection;
- What data are easy to retrieve, difficult to collect, or missing;
- What data collection methods are difficult or impossible to complete;
- What errors occur in the analysis and reporting of data; and
- What data are required to measure prioritized outcomes but not yet available.

The pilot test also provides an opportunity to identify the best ways to present information for various audiences, such as project directors, executive boards, national program offices, OMB, and congressional committees.

Prepare a Detailed Work Plan

A detailed work plan will focus on introducing the outcome measures for the HIDTA and OCDETF programs on a gradual basis, integrating the new measures into existing reporting systems, and outlining training and technical assistance that will be required to support a full-scale adoption of the system by both programs. The work plan will include procedures that task forces and grantees can use to estimate the cost of implementing the performance monitoring and management system.

The work plan will identify which measures should be implemented first, with a recommended phase-in schedule that considers the following: (1) measures that are most critical to assessing program performance; (2) those that are easiest to use; and (3) those that can be implemented at minimal cost to the National Program Offices and to the grantees/task forces.

Some of the toughest challenges to developing the performance monitoring and management system have been tackled by this project: (1) translating the general HIDTA and OCDETF mission statements into measurable goals and objectives; (2) distinguishing between outputs, outcomes, and long-term impacts; and (3) specifying, through the development of program models, how the programs' operations are intended to produce the desired outputs and outcomes.

It is clear that the value of performance measurement has now been imbedded in the organizational culture of both programs. The information and recommendations for future steps, contained in this report, reflect a commitment to accountability that is consistent with the spirit of this Administration and its participating agencies. The ultimate success of the HIDTA and OCDETF performance monitoring and management system will be supported by the continued leadership of senior management within ONDCP and DOJ.

1. INTRODUCTION

1.1 BACKGROUND

The HIDTA/OCDETF Performance Monitoring and Management System project represents the shared commitment of the White House Office of National Drug Control Policy (ONDCP) and the U.S. Department of Justice (DOJ) to develop a framework that will examine the logic, assumptions, program activities, funding issues, and other contributory factors that affect the achievement of targets for two major drug law enforcement programs: the High Intensity Drug Trafficking Area (HIDTA) and the Organized Crime Drug Enforcement Task Force (OCDETF) programs.

The annual performance plans prepared by both DOJ and ONDCP support the President's drug control policies to curtail the use of illegal drugs with an increased focus on coordinated interagency law enforcement efforts, thereby making better use of each agency's unique experience. Both the DOJ and the ONDCP face a major challenge in developing and obtaining agreement on performance goals and indicators in cross-cutting areas such as those addressed by the HIDTA and OCDETF programs. The purpose of the HIDTA/OCDETF Performance Monitoring and Management System project is to support and guide the development of an interagency performance measurement system to help gauge the effectiveness of the two programs.

The Director of ONDCP is authorized to designate as HIDTAs certain areas within the United States that exhibit serious drug-trafficking problems and that harmfully influence other areas of the country. The mission of the HIDTA program is to enhance and coordinate drug-control efforts among local, state, and Federal law enforcement agencies in order to eliminate or reduce drug trafficking and its harmful consequences in these critical areas. The HIDTA program began in 1990 in 5 areas of the United States and by the end of 2001 had grown to 28 areas. The geographic boundaries of HIDTAs vary considerably. Some include several counties that cluster around a metropolitan area and others include counties located in several states.

The OCDETF program is the centerpiece of the U.S. Attorney General's strategy to reduce the availability of drugs. The principal mission of the OCDETF program is to disrupt and dismantle major drug trafficking organizations (MDTOs) and related criminal enterprises. The OCDETF program provides a platform for Federal, state, and local law enforcement agencies to work together to target well-established and complex organizations that direct, finance, or engage in illegal narcotics trafficking and related crimes. The United States is organized into 94 judicial districts, each with its own U.S. Attorney. These jurisdictions are organized into nine OCDETF regions.

The HIDTA and the OCDETF programs share a common commitment to facilitating Federal, state, and local law enforcement efforts to combat drug use. The design and intent of both programs is to provide resources that support collaboration among Federal, state, and local partners to respond to drug trafficking. Both programs face the challenge of measuring their effectiveness in achieving this common goal. HIDTA and OCDETF program managers need information that can clearly identify the link between law enforcement efforts and their impact on drug traffickers and drug-trafficking systems.

The HIDTA/OCDETF Performance Monitoring and Management System project grew out of a strong concern on the part of the DOJ Criminal Division and ONDCP to make the OCDETF and HIDTA programs accountable for the public funds that support them. Both programs have been grappling with the challenge to effectively measure performance. DOJ and ONDCP understand the importance of agreeing on measurable goals, performance measures and milestones, and output and outcome measures for the OCDETF and HIDTA programs.

DOJ's Fiscal Year 2003 Performance Plan highlights the importance of developing strategic planning and performance monitoring for the OCDETF program. Most recently, OCDETF stated its commitment to "demonstrate effective performance by developing and achieving meaningful, outcome-oriented performance targets" (OCDETF, n.d.).

Likewise, for each agency receiving HIDTA funds, ONDCP recognizes the need to establish performance milestones and measurable goals, output and outcome measures appropriate for evaluating progress, and a process for collecting and reporting this information. ONDCP has made a commitment to "work closely with affected departments and agencies, the Office of Management and Budget (OMB), and interested committees of the Congress to formulate a revised drug budget presentation for the FY 2004 budget cycle, consistent with the principle of managing by results" (ONDCP, 2002, p. 10). In that report, ONDCP highlighted the importance of identifying and developing indicators and additional data sources to measure the performance of the HIDTA program (p. 20).

Although ONDCP and DOJ agree on the importance of developing a performance monitoring and management system, the HIDTA and OCDETF program offices also recognize the difficulty inherent in measuring the performance of these two programs. There are limited data available to measure the relationship between drugs and crime or to measure law enforcement's impact on drug trafficking. The development of a methodologically sound and programmatically feasible monitoring system requires a thorough review of the programs' missions, goals, objectives, activities, and intended outputs and outcomes. This report will lay the foundation for describing these program components, developing a structure for modeling each program, identifying output and outcome measures, and recommending a process for implementing a system to support the systematic monitoring of both the HIDTA and the OCDETF programs.

1.2 PROJECT DESIGN

The project includes two major tasks: (1) to identify a menu of law-enforcement program measures specifically relevant to HIDTA and/or OCDETF, and (2) to develop a recommended method of implementing a measurement and reporting system for the two programs. CSR's contract that produced this report specifically states that "this project is the first step in what ONDCP and DOJ envision to be a long-term implementation of a performance monitoring system for law-enforcement joint task force efforts, such as HIDTAs and OCDETFs." The contract also states that following this initial design phase, "the performance monitoring system will be field tested on several HIDTA or OCDETF programs to modify the system so that it is fully feasible, meaningful, and useful to individual programs." The contract further states that the "long-term goal is to have a monitoring system institutionalized through the involvement of program directors."

Within the first 10 weeks of this project, several steps were undertaken to guide the identification of a menu of measures. First, staff of CSR, Incorporated completed a review of the literature concerning evaluation and performance measurement, particularly as it relates to law enforcement programs. The major product of this review is an annotated bibliography, presented in Appendix A to this report. This bibliography identifies all documents reviewed, summarizes each document in a systematic manner, and discusses key findings.

Second, CSR researchers conducted a thorough review of all available program materials relating to the HIDTA and OCDETF programs. These documents included the legislative mandate, reports prepared by the General Accounting Office, departmental memoranda, program guidance and reporting manuals, and descriptive materials documenting, for each program, goals, objectives, activities, and milestones. This review resulted in two products: (1) a directory of program materials, included as part of Appendix A, and (2) a presentation of program elements for each program, presented in Appendices B and C.

Third, staff from CSR conducted detailed discussions with program representatives at the Federal and local levels. These individuals included ONDCP and DOJ officials, contractors involved in program monitoring activities, and state and local law enforcement officials who participate as HIDTA directors, Federal Agency/OCDETF coordinators, U.S. attorneys, and members of HIDTA and OCDETF task forces. These discussions helped clarify program descriptions contained in the written documents and provided further insight to key actors' understanding of the mission and operation of each program. This review process also facilitated the involvement of key players at the Federal, state, and local level in the development of a performance monitoring and management system that will represent the reality of each program's day-to-day operations and intended outputs and outcomes. In the course of designing a performance monitoring and management system, it is critical to involve the key stakeholders who will ultimately use the system as a management tool. This process was intended to ensure a sound understanding of staff members' expectations of the role of

performance monitoring in the context of their regular program responsibilities. A detailed description of the HIDTA and OCDETF programs is presented in Chapter 2 of this report.

Synthesis of this information will serve as valuable input to the development of measures and a monitoring protocol that is viewed as programmatically relevant. The multiple meetings held with program officials and discussions held with key stakeholders in the field created an opportunity to develop a performance monitoring and management system that is grounded both in the research and in the real-world environment of the two programs. CSR anticipates that this investment will ensure that the program operators, who must ultimately support and provide input for the system, understand its utility as a management tool. This commitment to involving key users and customers in the design of a performance monitoring and management system is consistent with the recommendations of Kravchuk and Schack, who support the involvement of “key decisionmakers and other interested parties with the power and limitations of the measurement system . . . and their active participation in the design and development phase” (Kravchuk, 1996, page 350).

Fourth, following a review of the literature, a review of program materials, and approximately 50 discussions with program officials at various operational levels, CSR researchers and DOJ and ONDCP staff synthesized and validated information from all these sources to support the development of logic models for the HIDTA and OCDETF programs. These logic models, described in Chapter 3 of this report, graphically depict the key linkages, actors, program inputs, outputs, and intended outcomes and impacts for each program. These logic models track the sequence of activities, feedback loops, contextual factors, and other program interactions that must be understood by program management and program operators in order for ONDCP and DOJ to develop a performance monitoring and management system. A comparison of these two logic models enables ONDCP and DOJ to isolate common characteristics of each program and to document the unique elements of both the HIDTA and OCDETF programs.

Fifth, a menu of measures was developed to support the implementation of performance monitoring for the HIDTA and OCDETF programs. In identifying measures, CSR researchers considered both the availability of data and the relevance of data to measuring each output and outcome identified in the logic models. The measures and their relationship to the two programs, as well as technical issues relevant to measuring outputs and outcomes, are discussed in Chapter 4 of this report.

CSR’s implementation recommendations are presented in Chapter 5 of this report. These recommendations include a discussion of basic principles that guide the integrity of the performance monitoring and management system, issues that must be addressed in planning and managing the system, and a protocol to guide the implementation of the system. Finally, Chapter 6 outlines next steps that must be taken to refine measures, develop data sources, collect data, and pilot-test the system before it can be adopted on a full-scale basis.

1.3 GOVERNMENT PERFORMANCE AND RESULTS ACT: THE IMPETUS FOR MEASUREMENT

Performance measurement has a long history in evaluation, dating back to the 1960s, but this topic was given a new life with the passage of the Government Performance and Results Act (GPRA) of 1993 (U.S. Congress, 1993). The act requires that every Federal department and agency develop 5-year strategic plans linked to measurable outcomes using a series of annual performance plans. The development of performance measures must emphasize program outputs and outcomes.

Implicit in the GPRA are several principles that should be considered in developing performance measures for the HIDTA and OCDETF programs. First, the GPRA emphasizes “improving service delivery . . . [through the provision of] information about program results and service quality” (GPRA, 1993; S2)a[6]). This principle suggests that law enforcement partners in the HIDTA and OCDETF task forces should be involved in the assembly and review of performance data in order to assess their own team efforts.

Second, GPRA emphasizes strategic planning. This emphasis is consistent with the overall mission of both the HIDTA and OCDETF programs, which place a priority on interagency coordination and communication. Therefore, as the programs mature and change over time, program managers may need to revise strategies and objectives, as well as the measures used for monitoring program success. This evolution in program strategies and initiatives may require changes in the performance monitoring and management system that are more frequent than the 3-year window recommended by GPRA.

Third, GPRA calls for outcome measures that can be aggregated to the Federal level. In the case of HIDTAs and OCDETFs, Federal, state, and local governments constitute important partners in the program. Given the intergovernmental structure of the HIDTA and OCDETF programs and the mandate of each program, outcomes are more focused on systems or organizations than on individual citizens. Therefore, measures that rely only on the use of federally supported data collection systems will not capture all of the data required for measuring the success of these programs.

Fourth, one of the major objectives of GPRA is to measure system-wide performance. Policymakers will want to know whether the program as a whole is fulfilling its mission. At the same time, the design of both the HIDTA and OCDETF programs allows for tremendous flexibility at the operational or task force level. The performance monitoring and management system must include a framework that acknowledges the diversity of the programs’ goals and processes.

Finally, GPRA requirements dictate several important components that must be addressed by the logic models developed for the HIDTA and OCDETF programs: a mission statement covering the program’s major functions and operations; articulation of long-term goals and objectives, including outcome-related goals

and objectives; a description of how the program's goals and objectives will be achieved, including the resources and activities required to meet the goals and objectives; and the identification of key external factors that could affect the achievement of the long-term goals and objectives.

These and other GPRA requirements have been considered in developing the menu of the measures and monitoring-implementation protocols for the HIDTA and OCDETF programs.

1.4 THE ROLE OF PERFORMANCE MONITORING

Performance monitoring is one of several tools used by policymakers and program managers. It is driven by the need for conclusions that are based on evidence and not on testimonials offered by impassioned advocates. It is important to distinguish between performance monitoring, which is the focus of this project, and other evaluation tools that focus on program impacts on the community and program costs. Performance monitoring provides information on key aspects of how a system or a program is operating and the extent to which specified program objectives are attained (Harrell, 2002). Performance monitoring results are used by program managers, funders, and policymakers to assess the program's performance and accomplishments.

The results of performance monitoring will reveal the attainment of program goals, identify problems encountered in program operations, and pinpoint potential problems in realizing the ultimate success of the program. Performance monitoring will not answer "how and why" questions that are the domain of program evaluation (Newcomer, 1997). Performance monitoring results may lead program managers to consider the need for a program evaluation. However, program evaluation goes beyond the confines of performance monitoring by establishing the causal connection between outcomes and program activities, isolating the influence of external factors beyond the control of the program, developing explanations for why outcomes occurred, and defining the program's contribution to those changes. For example, performance monitoring of the HIDTA or OCDETF program may produce information that documents a reduction in drug-related problems, such as the disruption of drug-trafficking organizations. However, a systematic evaluation would have to be launched to assess how much of this change is directly due to activities supported by either or both programs. Furthermore, a systematic evaluation of the program would be required to develop a thorough understanding of why the program did or did not succeed and to suggest ways to improve the program.

The results of the performance monitoring and management system used by the HIDTA and OCDETF programs may reveal findings that lead program operators and policymakers to conclude that there is a need for a focused evaluation on one or more of the HIDTA or OCDETF programs at the local level, or on a sample of programs within a particular region or at the national level. The resulting program evaluation might, for example, focus on the measurement of a particular set of

impacts on organizations or on communities, or it might focus on issues related to efficiency or accountability. Implementation of the performance monitoring and management system designed by this project will not produce program evaluation findings, but it can lead program managers to recognize that an evaluation is warranted. The logic and language of the performance monitoring and management system envisioned by this report can be used as a framework for reviewing and measuring the attainment of HIDTA and OCDETF goals and identifying successes or failures in the implementation of the respective program.

1.5 PURPOSES OF THE PROPOSED PERFORMANCE MONITORING AND MANAGEMENT SYSTEM

The performance monitoring and management system developed for the HIDTA and OCDETF programs will incorporate indicators to establish program accountability. The indicators, taken as a whole, will serve as a management tool to be used for four purposes: accountability, program monitoring, program improvement, and communication (Yap, 1997). These terms are defined below:

Accountability—Performance indicators provide a means of determining the extent to which program objectives are attained. Program managers are held accountable for outcomes of resources invested in the program. Successful programs can be rewarded and replicated when feasible. Less successful programs can be strengthened, cut back in funding, or eliminated.

Program Monitoring—Performance indicators provide a way of checking on the progress made by program staff at a particular point in time. Program managers can use performance data to make corrections to ensure that the program is progressing on the right track. The development and use of benchmarks is essential if data are to be made available to indicate patterns and trends of program implementation and outcomes.

Program Improvement—Performance indicators provide data that identify areas in which the program is working well and areas in which improvement is needed. Program managers can also use performance data to make modifications that further strengthen the program.

Communication—Performance indicators provide a way of communicating with various audiences. The performance monitoring and management system must support communication among Federal, state, and local partners participating in the HIDTA and OCDETF programs.

Thus, the key elements of the performance monitoring and management system developed for the HIDTA and OCDETF programs will provide information on (1) key aspects of how the program is operating; (2) whether, and to what extent, program objectives are being attained; and (3) identification of failures to produce program outputs and outcomes, for use in managing or redesigning program operations.

The information produced by the performance monitoring and management system will also lead program officials and policymakers to determine when further research is warranted to measure program efficiency, effectiveness, and impact on the larger community of law enforcement and society. Questions about efficiency, effectiveness, and impact will define the purpose and scope of subsequent program evaluations of the HIDTA and OCDETF programs.

A detailed review of the HIDTA and OCDETF programs is presented in Chapter 2 and serves as the basis for developing logic models for both programs.

2. HIDTA AND OCDETF PROGRAM COMPONENTS

2.1 INTRODUCTION

This chapter provides an overview of the High Intensity Drug Trafficking Area (HIDTA) and the Organized Crime Drug Enforcement Task Force (OCDETF) programs. Each program is discussed separately. The program goals for HIDTAs and OCDETFs are listed along with the program participants and partners. The activities, outputs, outcomes, and long-term impacts are also reviewed. In addition, the similarities and differences between the HIDTA and OCDETF programs are discussed. Appendix D includes inserts and references to the legislative authority supporting each program

2.2 THE HIDTA PROGRAM

The HIDTA program was initially established by the Anti-Drug Abuse Act of 1988. The President's National Drug Control Strategy (NDCS), developed each year by the Office of National Drug Control Policy (ONDCP), lists three national priorities for ONDCP (The White House, 2002). These include stopping drug use before it starts, healing America's drug users, and disrupting the drug market. The primary emphasis of a HIDTA program is to reduce the supply of illicit drugs. The HIDTA program generally excludes demand reduction efforts. Some HIDTAs do engage in treatment (e.g., Washington, D.C./Baltimore) and prevention (e.g., New York/New Jersey) activities, but they are ancillary to the primary objective for the HIDTA program and are technically classified as support activities. Other programs supported by the ONDCP focus on reducing demand (e.g., media campaign, drug-free community support), while the HIDTA program constitutes the agency's primary domestic market disruption mechanism.

2.2.1 HIDTA Program National Goals

The ultimate mission of the HIDTA program is to eliminate or reduce drug trafficking (including the production, manufacture, transportation, distribution and chronic use of illegal drugs, and money laundering) and its harmful consequences in critical regions of the United States. Three primary goals define the mission of the HIDTA program. Each of the HIDTA goals is congruent with the ONDCP goals and objectives:

- Improve efficiency and effectiveness of law enforcement within HIDTAs;
- Reduce the impact of drug trafficking, and
- Increase the safety of American neighborhoods.

The HIDTA program goals are arranged hierarchically. Improvements in law enforcement capabilities are needed to disrupt the activities of drug trafficking organizations (DTOs) and the violence associated with illegal drugs. The third goal for the HIDTA program is accomplished through achievement of the first two goals. Accomplishment of the first goal facilitates progress toward achieving goals two and three. Its accomplishment, by itself, is not sufficient to serve as a criterion of program success. HIDTA program success is ultimately measured by reducing the impact of drug trafficking and related violence.

2.2.2 Individual HIDTA Goals

The HIDTA program is strategic by design, and the driving force behind each HIDTA is the annual drug threat assessment. Each HIDTA is a unique entity, designed to address specific area drug problems. The threat assessment considers several different drug trafficking threats: heavy sales/use of illegal drugs, smuggling routes or transshipment points, or being a center of cultivation or manufacture. The threat assessment documents the problems posed by different illegal drugs, citing relevant sources of information including drug use statistics, intelligence, and the opinions of informed experts (e.g., ethnographers, substance abuse treatment providers, and law enforcement personnel). Different areas of the country face distinct drug threats. For example, most of the HIDTAs in the southwest border partnership are primarily concerned with stemming the flow of illegal drugs into the United States from Mexico. Other HIDTAs are almost exclusively concerned with the methamphetamine production (Midwest) or marijuana cultivation (Appalachia). HIDTAs in large urban areas are frequently concerned with street gang activity and open-air drug markets. Transit zone interdictions, drug production, and distribution each require different types of resources and activities.

The threat assessment is submitted annually because drug threats often change over time. Annual updates to the threat assessment accomplish several objectives. First, annual updates can detect trends in drug trafficking and use. Second, changes in identifiable drug threats can indicate HIDTA effectiveness. This is particularly true if the HIDTA can successfully address the problems identified in the threat assessment. A third purpose of annual threat assessment updates is to maintain a strategic focus. DTOs are highly flexible; changes in trafficking activities frequently occur, particularly when pressure is applied by law enforcement. Annual threat assessments facilitate the requisite flexibility of law enforcement activities in mirroring the highly adaptable nature of DTOs.

2.2.3 HIDTA Program Participants

The HIDTA Program receives leadership from ONDCP's National HIDTA Program Office and from area HIDTAs, which are managed by a Director and an Executive Board that administers multiple initiatives through a series of task forces.

2.2.3.1 ONDCP HIDTA Program Office

The management responsibilities of the ONDCP HIDTA Program Office are primarily to provide program policy guidance and evaluate program performance. The ONDCP Director, upon consultation with the Attorney General, Secretary of Treasury, heads of national drug control program agencies, and Governors of applicable states, designates specified regions of the United States as HIDTAs. The HIDTA Coordinating Committee, chaired by ONDCP's Deputy Director for State and Local Affairs, is an interagency body that includes representatives from ONDCP and the Departments of Justice, Treasury, and Health and Human Services. The Coordinating Committee makes recommendations on policy, program, and funding to the ONDCP Director. Reporting to the Deputy Director for State and Local Affairs, the National HIDTA Program establishes various subcommittees with representation from state and local LEAs around the nation.

2.2.3.2 HIDTA Executive Board and Directors

Each HIDTA is governed by an Executive Board, which is led by a Chair and a Vice Chair (one state or local person and one Federal person). There are 16 members of the law enforcement and justice communities on each Board, including 8 Federal agency members and 8 state and local representatives. The Executive Board hires a Director to assist with the day-to-day administration of the HIDTA, implement appropriate oversight controls, and coordinate with the ONDCP. The HIDTA Director reports directly to the Executive Board. The Board and Director jointly propose annual budgets; develop initiatives that specifically address the drug trafficking threats; and monitor the development, implementation, support, and evaluation of HIDTA initiatives.

2.2.3.3 Initiative Level: Task Force

The Executive Board oversees and directs the development of HIDTA initiatives to implement the strategy and target the threat. Drug Enforcement Administration (DEA) or Federal Bureau of Investigation (FBI) agents often head HIDTA task forces, while some task forces feature local or state enforcement agency leadership or are co-managed by both Federal and local representatives. The HIDTA Director usually manages administrative initiatives. Some initiatives are led by Federal agencies with unique expertise. For example, U.S. Marshals lead task forces focused on fugitives, and Bureau of Alcohol, Tobacco and Firearms (ATF) agents lead task forces for controlling firearm-related violence. The Internal Revenue Service (IRS) or U.S. Customs Service (USCS) often lead initiatives focusing on drug profits. Marine interdiction task forces are often led by the U.S. Coast Guard (USCG).

Initiatives must be reevaluated each year by the Executive Board to determine whether the initiative should continue to be included in the HIDTA's strategy.

2.2.4 HIDTA Partnerships

HIDTA achieves its goals by ensuring the cooperation and effective execution of collective activities undertaken by participating agencies. The HIDTA program is designed to function as a strategy-driven system to facilitate communication and collaboration and the strengthening of partnerships among Federal, state, and local agencies. The HIDTA program does not directly investigate specific cases or enforce the law, but, rather, provides support, personnel, and tools to improve existing LEA capabilities. It accomplishes this by bringing together law enforcement resources and creating an infrastructure for coordination between and among agencies. The success of the HIDTA program is built on strong partnerships developed among participating agencies.

2.2.4.1 Federal Agency Partners

Several Federal agencies participate in the HIDTA program. Two of the most prominent are the FBI and DEA. Both the FBI and DEA have explicit Title 21 legislative authority for drug-related law enforcement and are central participants in the HIDTA program. The mission of both agencies is highly congruent with the goals of the HIDTA program—namely the investigation of drug-related crimes. Some of the initiatives in the HIDTA program are FBI- or DEA-led because these agencies bring investigative resources that are not found in many local agencies. The U.S. Marshals Service (USMS) is also involved in the HIDTA program and heads several initiatives to track down violent fugitives. The ATF is involved in tracking and apprehending violent offenders involved in the illicit drug trade. The IRS provides expertise in financial investigation to nearly every HIDTA. The Immigration and Naturalization Service (INS) and USCS are active in many HIDTAs, as are United States Attorneys. Most of the HIDTAs situated on international borders enjoy participation from the Department of Defense, supplemented by the USCG for sea borders and the Border Patrol at inland points of entry. Other Federal agencies that participate in HIDTA task forces include the U.S. Postal Service, the Secret Service, the U.S. Department of Housing and Urban Development, the National Park Service, the U.S. Department of Agriculture Forest Service, the Food and Drug Administration, and the Federal Aviation Administration.

2.2.4.2 State and Local Agencies

In addition to the Federal-level participants, HIDTA partners include a wide range of state and local LEAs. The local police departments within a HIDTA-designated area are almost always represented on task forces. Many task forces, particularly those involved in highway interdictions, involve the state police. Many states have investigative LEAs that participate in HIDTAs. State and local district attorneys are also frequently involved. National Guard units also are frequently involved, as are state criminal justice, corrections, and parole agencies. Some states have financial and banking agencies that contribute to financial

investigations. State-level substance abuse agencies and medical examiners frequently contribute to HIDTA initiatives.

2.2.4.3 Community Organization Partners

Several regional HIDTA programs have partnerships with non-governmental organizations. These include local affiliates of the Partnership for a Drug-Free America and Drug Abuse Resistance Education (D.A.R.E.) affiliates. Many HIDTA programs with inner-city and neighborhood-level initiatives partner with various community groups. Prevention initiatives also include partnerships with Police Athletic Leagues.

2.2.5 HIDTA Program Activities

HIDTA program activities are executed through leadership and strategic planning. Leadership is provided by the HIDTA Executive Board, which oversees and directs the development of the regional drug threat assessment and designs the strategy to combat the drug trafficking problems identified in the threat assessment. Each HIDTA has great flexibility in developing its own initiatives.

Initiatives designed to implement the national HIDTA program strategy include intelligence, investigation, interdiction, prosecution, and support. These five broad classes of activities serve as the foundation for HIDTA initiatives and task forces. These strategy subsystems are highly interdependent. For example, interdictions are made more effective by intelligence and investigative activities, such as “controlled deliveries.” At the same time, followup analyses on interdictions provide inputs for intelligence and investigative initiatives. Similarly, investigations and intelligence gathering are mutually reinforcing; better intelligence supports more complex investigations, and investigations generate information inputs to the intelligence subsystems.

Each HIDTA also has task forces dedicated to investigation of DTOs. Each task force includes a group of law enforcement officers who focus on a particular initiative to reduce the overall threat in the community. A task force is characterized by the co-location and co-mingling of agency representatives to work on a particular initiative, such as financial crime. Each task force focuses on specific portions of the HIDTA strategy. Interagency task forces are used to bring together the distributed expertise of several different types of LEAs.

2.2.5.1 Intelligence

Every HIDTA has an intelligence center. The intelligence center is primarily concerned with generating and analyzing information and providing intelligence to investigative and interdiction task forces. Intelligence centers are the centerpiece of the HIDTA program; they provide secure facilities and information systems to Federal, state, and local LEAs for storing and sharing information regarding drug trafficking networks and their vulnerabilities. An intelligence

center creates a communication infrastructure to facilitate information sharing between Federal, state, and local LEAs. The centers also develop the annual threat assessments that are used to design the HIDTA's enforcement strategies (i.e., initiatives). Intelligence centers also provide other functions and services (e.g., deconfliction) to regional law enforcement organizations.

A state or local LEA and a Federal LEA jointly manage the intelligence center. Drug control data are collected from Federal agencies, including the DEA, FBI, U.S. Customs, and many state and local LEAs. HIDTA intelligence centers provide secure sites and information systems for participating LEAs and task forces to record, store, and appropriately share information and intelligence.

An important factor in drug enforcement intelligence is database access. Database connectivity is a cornerstone of HIDTA intelligence activity because databases house invaluable information in drug enforcement investigations. National databases include the El Paso Intelligence Center (EPIC), the National Drug Intelligence Center (NDIC), the Financial Crimes Enforcement Network (FinCEN), the National Criminal Information Center (NCIC), the National Law Enforcement Center (NLEC), the FBI Field Office information System (FOMS), and the DEA's Narcotics and Dangerous Drugs Information System (NADDIS). Several regional databases are also used: for example, Regional Intelligence Support Center (RISC), the North East Suspect Pointer Network (NESPIN), Regional Crime Gun Center, Texas Narcotics Information System (TNIS), and New Mexico Criminal Justice Information System (CJIS). Local databases (e.g., photo imaging networks) are often incorporated into the HIDTA intelligence center as well. Many intelligence centers create their own databases and share access with other HIDTAs. In addition to database connectivity, intelligence centers provide additional intelligence resources. Core intelligence center functions include events and cases/subjects deconfliction services. Post-seizure analysis and analytical case support are also provided, as are tactical and strategic intelligence. Some intelligence centers include additional intelligence activities such as technical equipment pools and electronic surveillance facilities.

The co-location of task forces is an important element in fostering interagency cooperation. Many HIDTA initiatives are housed in the same physical location as the intelligence center. Co-location creates free and open access and facilitates interactions and information sharing between task force members, as well as between different HIDTA initiatives. Co-location provides a common ground, which is intended to facilitate interagency cooperation and reduce the salience of "turf issues" that can threaten the effectiveness of interagency task forces. When multiple task forces are co-located, the physical proximity of different task forces creates opportunities for inter-task force interactions.

2.2.5.2 Investigation

Another class of initiatives is the investigation of DTOs. Many initiatives specifically focus on high-level, mid-level, or distribution-level DTOs. Others target specific organizations like Colombian and Mexican cartels. Some target

ethnic organized crime groups that participate in drug trafficking, including Dominican, Jamaican, Russian, Israeli, and Asian organized crime organizations. Another class of investigative initiatives concentrates on specific types of DTOs. HIDTAs with large inner cities often investigate open-air drug markets, street gang activity, and trafficking-related violence. HIDTAs with heavy violent crime rates often incorporate the ATF and USMS to target drug-related violence and violent fugitives. Most HIDTAs have initiatives focusing specifically on tracking the financial proceeds from drug trafficking. Some concentrate on organizations trafficking particular drugs: different initiatives target heroin, cocaine/crack, methamphetamine, or marijuana distribution.

2.2.5.3 *Interdiction*

Many HIDTA initiatives focus primarily on interdicting smuggled drugs. These are typically situated at U.S. ports of entry and at strategic locations within the United States. Some initiatives are designed to block the drug smuggling into the United States from abroad. These include maritime interdiction in the Caribbean and off the coast of Southern California, and land borders with Mexico and Canada. Some focus on major international seaports and airports. Others are involved in detecting drugs smuggled on U.S. highways, major rail hubs, and bus terminals. Additional interdiction initiatives concentrate on public transportation, stash houses, hotels, and parcel services.

Most of the illegal drugs consumed in the United States are imported from abroad. However, marijuana, methamphetamines, and club drugs are produced domestically. A special class of interdiction initiatives focuses on domestic cultivation and manufacture of illegal drugs. In fact, the Appalachia HIDTA is almost exclusively dedicated to the eradication of outdoor marijuana cultivation. Other HIDTAs (e.g., Midwest, northern California, Rocky Mountain, and Northwest) have initiatives directed against methamphetamine production including lab identification and clean-up, as well as interdicting precursor chemicals.

2.2.5.4 *Prosecution*

Initiatives with a prosecution focus involve Federal, state and district attorneys in the investigative process. Prosecutor involvement in investigations helps create more effective prosecutorial strategies and law enforcement protocols. Prosecutor involvement also helps intensify the use of grand juries and promotes asset seizures. Attorney involvement is also useful in obtaining wiretaps, warrants, and pen registers. Prosecution initiatives often include Assistant U.S. Attorneys who help develop HIDTA task force investigations into OCDEF cases. Other prosecution initiatives deliberately target cases that have significant local impact.

2.2.5.5 Support

HIDTAs also include a number of administrative support initiatives. Because HIDTA intelligence centers are heavily reliant on database connectivity, technical support is a key administrative activity. Crime and forensics labs facilitate investigations and prosecutions, and can provide valuable intelligence information on ballistics, drug seizures, and other case-related evidence. Support activities also include resource acquisition (e.g., pen registers, surveillance equipment). Some HIDTAs include initiatives for youth activities (e.g., athletic leagues, fishing programs, tutoring) and arrestee drug treatment programs. Training is another important support activity and includes computer and database use, tactical and investigative skills, and firearms. Areas with high rates of methamphetamine production and use frequently feature training in law enforcement tactics for dealing with people under the influence of methamphetamines and specialized techniques for detecting and disrupting clandestine manufacturing through lab seizures and dismantlements. Other administrative activities include financial management (fiscal accounting procedures) and program evaluation.

2.2.6 HIDTA Program Outputs

HIDTA outputs measure the program's ability to meet the first goal of the HIDTA strategy: to improve the effectiveness and efficiency of LEAs.

The HIDTA FY 2004 Performance Plan (draft) currently outlines five categories of activities for achieving Goal 1 objectives: administration and accountability of resources, information management and sharing, communications interoperability, training, and strategic planning and initiatives. Within every category there are specific objectives and targets that individual HIDTAs seek to achieve within each program year. These standards are developed to encourage progress from basic to optimal outputs over a period of time.

The 2002–2008 Strategic Plan (draft) identifies the following strategies and means that will be used to achieve Goal 1 objectives:

- Best practices information will be collected by HIDTA staff on a periodic basis and combined into a single document which will be conveyed to each HIDTA;
- HIDTA staff will closely monitor development of both the financial database and HIDTA program performance evaluation component;
- Onsite reviews are scheduled at a pace that does not adversely affect quality;
- HIDTA staff will identify regional HIDTAs not fully connected via electronic networks, and compile up-to-date lists of task forces needing to be connected;

- HIDTA staff will work closely with regional HIDTAs to identify training needs and compile and refine training standards and documents; and
- ONDCP will provide additional oversight of the HIDTA programs through internal and external reviews of individual HIDTA efforts, while commercial auditors conduct financial audits within each HIDTA.

2.2.6.1 *Traditional LEA Outputs*

Several of the output measures provided in the NDCS Performance Measures of Effectiveness Report, 2001 Annual Report use traditional LEA statistics. Appendix C of the Annual Report requires documentation of the number of arrests, seizures, and investigative and intelligence activities. This information is provided for the current year, as well as the 2 previous years to estimate annual changes in the outputs. The total number of arrests is reported. Drug seizures are broken down by the following categories: cocaine, heroin, cannabis (bulk), cannabis pots eradicated, cannabis plants eradicated, methamphetamine, clandestine labs, and “other”). Asset seizures are also included in the annual report, as are investigative activities (Title III initiations, pen registers, pager intercepts, OCDETF cases initiated, and number of cases with intelligence analysts assigned), and activities of the intelligence center (event/subject deconflictions, charts/graphs produced, telephone tolls, document analysis, geo-mapping, link analysis, statistical analyses, intelligence profiles, and photographs). If a HIDTA does improve LEA abilities, the outputs and activities of participating agencies (i.e., arrest rates, seizures, and investigations) should reflect increases upon being included in a HIDTA.

2.2.6.2 *Cooperation: The Ultimate Output*

Related to its first goal, to increase the efficiency and effectiveness of law enforcement within the HIDTA, regional HIDTA programs produce two important outputs: interagency cooperation and intelligence activities. Cooperation between and among agencies includes factors such as timely intelligence sharing, inter-agency trust, and elimination of “turf battles.” Regional HIDTA programs create an infrastructure through co-location and the formation of inter-jurisdictional task forces, which foster a collaboration and cooperation. To measure the effect of HIDTA coordination activities, the level and strength of cooperation among participating LEAs must be considered as an output. This output leads to important program outcomes and impacts, related to HIDTA goals two and three, which must be accomplished before a HIDTA program can claim success.

2.2.6.3 *Intelligence*

HIDTA effectiveness is predicated on a strong intelligence infrastructure. Intelligence outputs have wide-ranging effects on other initiatives, regional HIDTA programs, and the national HIDTA program. Deconfliction services

provided by the intelligence center include event deconfliction, which increases officer safety, and case deconfliction, which helps eliminate duplication of effort by different agencies investigating the same organization and promotes agencies' working together. Intelligence sharing is another important part of inter-agency cooperation, and intelligence databases provide a mechanism for this to occur, not just within the task force but also with other initiatives and other HIDTAs. The outputs of database connectivity include database queries as a means of obtaining information and database contributions as a mechanism for providing information. Financial investigations provide additional support to HIDTA initiatives by identifying drug trafficking and money laundering organizations and providing the foundation for asset seizure upon conviction of organizational leaders. In addition, the intelligence center provides leads and pointer indices to investigation and interdiction activities.

2.2.7 HIDTA Program Outcomes

Outcomes measure the success of HIDTAs in achieving the second goal of the program: to reduce the impact of DTOs. The ONDCP provides three objectives to measure progress toward the goal of reducing the efficiency and impact of DTOs: (1) use HIDTA intelligence center information to better assess domestic drug trafficking; (2) reduce the levels and types of drug trafficking; and (3) focus on areas of drug production, transportation, distribution, use, and money laundering.

Consistent with the President's *National Drug Control Strategy* and the *Domestic Strategic Review (Office of State and Local Affairs)*, the draft 2002–2008 Strategic Plan identifies the following specific strategies and actions aimed at reducing the impact of DTOs:

- Based on timely information provided by HIDTA task force participants, appropriate drug offenders will be targeted by HIDTA-affiliated agencies;
- HIDTA will partner with OCDETF regarding the priority drug trafficking targeting list and will work to apprehend identified drug offenders;
- HIDTA will increase focus on financial transactions where intelligence provides an avenue for investigation and will require a financial component to all HIDTA initiatives;
- HIDTA will continue to enhance focus on the Southwest border and will provide consolidated and coordinated efforts; and
- HIDTA will contract with the National Drug Intelligence Center to receive timely and updated information, by county, regarding the shifting national drug threat.

If the primary outputs of LEAs are seizures, investigations, and arrests, the primary outcomes of their activities are prosecutions, convictions, sentences, and seizures of DTO assets. Law enforcement activities lead to prosecutions. The

conviction rate reflects the success of prosecutions, and the length of sentences handed down reflects their strength. The ultimate outcome is dismantling the organization, which is accomplished through asset seizure and forfeitures. These outcomes should result from all LEA activities, whether the LEA is within or outside the HIDTA region. However, changes in the rates of prosecutorial activities are strongly related to the effectiveness of law enforcement activities. If a HIDTA program increases the effectiveness of law enforcement, concomitant increases should occur in successful drug trafficking prosecutions and asset seizures.

One of the targets of LEAs is DTOs. A primary objective of the HIDTA program is to dismantle or disrupt the activities of these organizations. Dismantling a DTO requires the prosecution of high-ranking members. Incarcerating the leaders helps disrupt DTOs, but completely dismantling the organization requires that law enforcement also destroy the organization's infrastructure. This results from successful prosecution of major players and the identification and seizure of the organization's assets. Without comprehensive prosecutions and seizures, the organization may regain its strength despite the enforcement and prosecutorial activities.

The elements of drug trafficking include production, transportation, distribution, and illicit financial transactions. The extent to which these activities are successfully attacked will influence whether the organization is dismantled or disrupted. Even if the organization is not completely dismantled, changes in DTO activities can signal HIDTA success, particularly if they make the DTO less efficient and effective.

2.2.8 HIDTA Program Impacts

Several sources of legislative authority for the HIDTA program (Anti-Drug Abuse Act of 1988, Executive Order No. 12880, the Violent Crime Control and Law Enforcement Act of 1994, and Office of National Drug Control Policy Reauthorization Act of 1998) emphasize using a performance measurement system to gauge the impacts of all ONDCP programs. The HIDTA program's impact on the community may be reflected in three basic domains: violence in the community, level of drug use, and the availability of drugs. ONDCP goals explicitly address drug use and drug-related violence, and indirectly suggest the availability of illegal drugs. If law enforcement is successfully dismantling DTOs and causing the surviving ones to adopt more costly tactics, the availability of illegal drugs will be affected. Assuming drugs are less available and DTOs become less effective, it is reasonable to assume a decline in drug use.

2.2.8.1 *Drug-Related Violence*

The third goal of the HIDTA program is to increase the safety of American neighborhoods or, alternatively, to decrease violence in the community. The Office of National Drug Control Policy Reauthorization Act of 1998 lists several

related crime targets by the end of 2003 including a 50-percent reduction in drug-related crime, a reduction in crimes committed by people under the influence of unlawful drugs, and a reduction in crimes committed for the purpose of obtaining money to purchase illegal drugs.

2.2.8.2 Level of Drug Use

The 2002 NDCS of the ONDCP calls for reductions in drug use in both the adult and youth populations. The goals include a 10 percent reduction in illegal drug use in both populations within 2 years, using figures from 2000 as a baseline. Within 5 years, the ONDCP goal is a 25 percent reduction in drug use in both adult and youth populations. The Office of National Drug Control Policy Act of 1998 lists several sources from which drug use information should be drawn. Many of the recommended sources are surveys designed to measure drug use (e.g., the National Household Survey of Drug Abuse and Monitoring the Future) and street-level price and purity. Other measures pertain to outcomes of drug abuse including emergency room reports, drug-related health care costs, drug treatment utilization, and arrestee drug testing.

2.3 THE OCDETF PROGRAM

The OCDETF program is the centerpiece of the Attorney General's drug strategy to reduce the availability of drugs. The principal mission of the OCDETF program is to disrupt and dismantle the major DTOs and related criminal enterprises. OCDETF is the only criminal justice task force program with national reach that combines the talent of experienced Federal agents and prosecutors with support from state and local law enforcement.

2.3.1 Department of Justice Strategic Goals

The OCDETF program is part of the U.S. Department of Justice (DOJ). Several strategic goals of DOJ are relevant to the OCDETF program. DOJ has seven strategic objectives, each with associated goals, several of which are directly pertinent to the OCDETF program. The first objective is to reduce the threat, incidence, and prevalence of violent crime, especially as it stems from gun crime, organized crime, and drug- and gang-related violence. Associated with this objective are the goals of reducing La Costra Nostra membership, targeted gangs, and gun violence (1.1). Other goals include disrupting and dismantling major drug trafficking and money laundering organizations and reducing the domestic production of methamphetamine (1.2). The second strategic objective of DOJ is to prevent and reduce crime and violence by assisting state, tribal, local, and community-based programs. This objective includes improving crime-fighting and criminal justice systems at lower levels of government (2.1), and breaking the cycle of substance abuse and crime through testing, treatment, and sanctions (2.3).

2.3.2 National OCDEF Program Goals

The goal of the OCDEF program is to identify, investigate, and prosecute the most significant drug trafficking and money laundering organizations and their related enterprises. On a national level, the Consolidated Priority Organization Target (CPOT) list identifies the most prominent DTOs nationwide. The initial CPOT reflects the highest priority targets identified by OCDEF member agencies, most notably DEA and the FBI, to include input from the Special Operations Division (SOD) and links to the regional priority targets with the largest scope and geographic reach. The CPOT is intended to focus OCDEF resources on the most significant drug-related criminal organizations in the United States. This list identifies priority targets for OCDEF investigations and represents the primary objectives of the OCDEF program as a whole. Cases involving CPOT organizations are assigned the most experienced prosecutors and law enforcement agents.

The OCDEF Program Guidelines list five primary objectives:

- To target, investigate, and prosecute individuals who organize, direct, finance, or otherwise engage in high-level illegal drug trafficking and related enterprises, including large-scale money laundering organizations, for the purpose of developing coordinated, multi-regional investigations that have the greatest potential to disrupt and dismantle nationwide drug and money laundering organizations and, thereby, reduce domestic drug supply.
- To promote a coordinated drug enforcement effort in each OCDEF region, to encourage maximum cooperation among all drug enforcement agencies, and to involve prosecutors early in the development of investigations.
- To work fully and effectively with state and local drug enforcement agencies.
- To link components of major drug trafficking and/or money laundering organizations in order to develop simultaneous, coordinated investigations that will dismantle the entire infrastructure of the organization.
- To make full use of financial investigative techniques, to identify and convict high-level traffickers and dismantle money laundering organizations, and to enable the government to seize and forfeit assets and profits, proceeds, and instrumentalities derived from high-level drug trafficking and related crimes.

2.3.3 OCDEF Program Participants

The OCDEF program encompasses several Federal programs. In addition to DOJ, other participating agencies include the DEA, FBI, United States Attorney's Office (USAO), USMS, INS, Department of Treasury (DOT), ATF, USCS, IRS, USCG, and National Drug Intelligence Center (NDIC). Representatives from each of these agencies participate at several different levels in the OCDEF hierarchy, including the national, regional, district, and task force level.

2.3.3.1 National Level

The OCDETF Executive Committee includes leaders in several Federal agencies (DEA, FBI, USAO, USMS, INS, DOT, DOJ, ATF, USCS, IRS, USCG, and NDIC). This committee articulates policy, reviews resource allocations, and coordinates the development and maintenance of the OCDETF program. The U.S. Deputy Attorney General chairs the committee. The Executive Committee meets quarterly and is ultimately responsible for dispute resolution of issues that cannot be resolved at the regional level.

The OCDETF Executive Office Director answers to the Executive Committee. The OCDETF Director provides leadership, direction, and focus for the OCDETF program. The Director is an Associate Deputy Attorney General who functions as a spokesperson and advocate for the program with Congress, OMB, ONDCP, and other governmental oversight and LEAs. He or she also chairs the Operations Chiefs Group. This group includes representatives in leadership positions in the Federal agencies and departments that regularly participate in OCDETF activities. This group provides coordination, program management, and guidance. Each member also serves as a boundary spanner, and shares relevant OCDETF information with their respective agencies. The Operations Chiefs Group meets at least quarterly.

The OCDETF Executive Office Director also chairs the Washington Agency Representative Group (WARG). This group consists of senior representatives of Federal agencies and departments that regularly participate in OCDETF activities. This group shares relevant information, formulates policies and procedures, and provides program coordination. This group is responsible for program adherence to guidelines, program evaluation, budget preparation, and sponsoring training programs and regional conferences. It meets monthly and as needed.

2.3.3.2 Regional Level

OCDETF has agent resources and Assistant U.S. Attorneys in each of the 94 Federal judicial districts. These districts are organized into nine geographic regions across the country, with regional headquarters in a U.S. Attorney's Office that is designated as the core city for the region.

The nine OCDETF regions include New England, New York/New Jersey, Mid-Atlantic, Great Lakes, Southeast, West Central, Florida/Caribbean, Southwest, and Pacific regions. Within each OCDETF region, one U.S. Attorney, known as the Core City U.S. Attorney, is assigned specific responsibility for managing the OCDETF program. The U.S. Attorney also chairs the OCDETF Advisory Council for the region and a Regional Coordination Group. The Regional Advisory Council consists of the U.S. Attorney from each district and senior law enforcement officials from the OCDETF investigative agencies throughout the region. Responsibilities of this council include monitoring drug trafficking patterns; formulating regional strategies for responding to local, regional, and national drug trafficking threats; communicating with Federal agencies;

coordinating drug enforcement efforts; and ensuring the appropriate use of OCDETF funds.

The administrative work of the OCDETF program in the regions is handled by a coordination group, comprised of a designated Assistant U.S. Attorney Coordinator and one senior/supervisory level Agent Coordinator from each OCDETF member agency, as well as non-OCDETF Federal law enforcement representatives (optional). This group assists the Advisory Council in monitoring drug trafficking patterns. It is primarily responsible for evaluating and approving the initiation of investigations, monitoring OCDETF program activities within the region, facilitating information exchange, managing expenses, ensuring deployment of resources for OCDETF cases, performing annual case reviews, and submitting completed OCDETF reports.

2.3.3.3 *District Level*

In the remaining judicial districts within a region, a District Coordination Group, led by a U.S. Attorney for the district, provides leadership for OCDETF cases at the district level. The District U.S. Attorney provides administrative support and is responsible for overall OCDETF performance within that judicial district. He or she also designates OCDETF Attorneys and Lead OCDETF Attorneys. The District Coordination Group is comprised of the Lead OCDETF Attorney, the OCDETF investigative agency Special Agents in Charge or Senior Supervisors from the judicial district, and state or local law enforcement representative(s). Each group is responsible for accepting or rejecting Investigation Initiation Forms; reviewing allocation of resources (e.g., agencies, agents, attorneys, and support staff) to OCDETF investigations; coordinating Federal, state, and local LEAs; and ensuring information sharing. This group meets regularly.

2.3.3.4 *Task Force Level*

Task forces are headed by the Lead OCDETF Attorney designated by the District United States Attorney. The Lead OCDETF Attorney is responsible for submitting investigation proposals to the Regional Coordination Group following approval by the District Coordination Group, maintaining status reports of OCDETF investigations and prosecutions, ensuring reports are accurately prepared and submitted, and identifying cases with asset forfeiture potential. He or she also serves on the District Coordination Group and acts as a liaison with the Regional Coordination Group. Each agency participating in the investigation designates a Special Agent-in-Charge who is responsible for bringing potential investigations (including HIDTA investigations, where appropriate) to the District Coordination Group, assigning Federal agents to OCDETF investigations, and supervising state and local officers. State and local law enforcement agents are involved in investigating, apprehending, and prosecuting major drug traffickers and their organizations. State and local participation is intended to expand the available resources and broaden the choice of venue for prosecution. Special

Agents-in-Charge also serve on the District Coordination Group and the OCDETF Advisory Council.

2.3.4 OCDETF Program Activities

The OCDETF program is DOJ's primary mechanism for targeting and dismantling large drug supply networks. OCDETF is a case-driven program focusing on specific DTOs. Coordinated multi-agency task forces investigate targeted organizations.

2.3.4.1 *Regional Strategic Plan*

Each OCDETF region is expected to submit a strategic drug and money laundering enforcement plan. The plan is developed by the core city U.S. Attorney and the Regional Advisory Council. The strategic plan identifies and targets the most significant drug and money laundering organizations in the region. A process for systematic re-evaluation of those targets must also be implemented. The strategic plan should determine the most effective investigative methods to make connections across jurisdictional and regional lines to develop the most far-reaching drug and money laundering investigations possible. The regional strategic plan should also document any links between regionally significant drug trafficking and money laundering organizations and organizations listed as national priority targets.

2.3.4.2 *Investigation Activities*

Investigations are almost exclusively initiated by an OCDETF member agency. OCDETF cases are normally generated by the receipt of intelligence, seizure of contraband, informant information, or investigative efforts. Criteria for developing an OCDETF case include:

- Investigations tied or linked to major drug trafficking and money-laundering organizations contained on the Attorney General's CPOT List.
- Investigations emanating from SOD leads and linked to SOD-coordinated investigations. (The SOD is a centralized, multi-agency [DEA, FBI, USCS, IRS Criminal Investigators, and DOJ/Criminal Division] coordination and law enforcement intelligence analysis unit that supports ongoing investigations by producing detailed and comprehensive data analyses of the activities of major drug trafficking organizations (MDTOs).)
- Investigations that are spinoffs from, or linked to, an ongoing OCDETF investigation in another district or region or have the potential to be multi-regional in scope.

- Investigations that are connected/linked to recognized international organizations or to components of a nationwide drug trafficking or money laundering organization.
- Investigation of MDTOs that warrant the involvement of more than one investigative agency.
- Investigations of MDTOs that demand significant attorney resources during the investigative stage (i.e., grand juries, wiretap, substantial cash or property assets subject to forfeiture, witness plea agreements and protection, and the corruption of public officials).
- Investigations that focus on criminal activities in order to achieve high-level prosecutions within an organization and that concentrate on dismantling the financial infrastructure of the targeted organization.
- Investigations that focus on prosecutions at upper levels of an organization with the potential forfeiture of illegal assets.
- Investigations and prosecutions that are expected to result in the conviction of persons engaged in organized activities related to importation, manufacture, distribution, crop cultivation, diversion, sales, financial support, or money laundering associated with the illicit trafficking of any illegal drug or narcotic substance, including pharmaceuticals and precursor chemicals.
- Investigations that have the potential of disrupting the organization through the seizure and forfeiture of money, conveyances, real estate, businesses, or other non-drug assets through both criminal and civil forfeiture action.

OCDETF funding is used to reimburse the DOJ U.S. Attorneys, Criminal Division, and Tax Division for their investigative support and prosecutorial efforts on OCDETF cases. Litigation efforts are targeted selectively on the criminal leadership involved in drug trafficking and are intended to dissolve organized illicit enterprises. This includes activities designed to secure the seizure and forfeiture of the assets of these enterprises. The fundamental purpose of the prosecution effort is to (1) effectively apply limited Federal resources against these targets where successful prosecution can have the greatest and most lasting effect on the nation's drug supply problems; and (2) build upon lessons learned from previous experience in order to enhance prosecutive effectiveness.

Prosecutor activity focuses on proven tactics such as increased use of financial investigations, expanded use of electronic surveillance, vigorous enforcement of asset forfeiture statutes, and coordination of multi-district investigations. Wiretaps require significant attorney resources.

The case agent or the Assistant U.S. Attorney is responsible for preparing an Investigation Initiation Form. If the District Coordination Group approves the case, it is forwarded to the Regional Coordination Group. Upon approval at the

regional level, it becomes an official OCDETF investigation. Upon official designation, agency resources are committed, the U.S. Attorney assigns an Assistant U.S. Attorney to the case, and the District Coordination Group determines the need for involving state/local law enforcement and arranges for joint enforcement actions.

2.3.4.3 OCDETF Task Forces

Upon case initiation, the Regional Coordination Group and Lead OCDETF Attorney assemble a task force. Task forces help eliminate duplication of effort and increase intelligence sharing among agencies. Another advantage of task forces is that they bring together the specialized expertise of different agencies. For example, the DEA and FBI are highly skilled at long-term investigations and the IRS adds expertise in financial investigations to the task force; joining representatives from each of these agencies can increase the effectiveness of an investigation. Participants are drawn from Federal agencies represented in the OCDETF Executive Committee. Other state and local LEAs are frequently included as needed on a case-by-case basis.

OCDETF task forces are prosecutor-led. OCDETF cases rely on several traditional investigative techniques including undercover work, investigative grand juries, and confidential informants. The use of court-authorized electronic surveillance is also increasing. Prosecutor involvement facilitates many of these activities and helps build strong cases with high conviction rates.

OCDETF investigations specifically focus on the DTO's finances. Financial investigations can provide insight into the boundaries of the organization. Tracing the money flow can reveal organizational members that may be overlooked by traditional law enforcement investigative techniques. Moreover, financial investigations help identify the organization's financial and property assets. This information is critical to OCDETF investigations as it works to dismantle the DTO's infrastructure through asset seizure and forfeiture.

2.3.5 OCDETF Program Outputs

OCDETF outputs can be identified at the national and regional levels, but the most critical are those of the individual OCDETF case.

2.3.5.1 Implemented Regional Strategies

OCDETFs are strongly encouraged to target organizations identified in the regional strategy. A critical output of the OCDETF region is the number of organizations listed in the regional strategy for which OCDETF cases are being developed. Creating task forces to investigate priority targets is a strategic output of the OCDETF region. The extent to which this strategy is implemented may be gauged by the percentage of the regionally significant drug trafficking and money

laundering organizations listed in the regional strategy that have active task forces dedicated to them.

2.3.5.2 *Interagency Cooperation*

A key output of interagency task forces is cooperation among representatives from different LEAs. The interpersonal interactions between task force members are a primary determinant of the task force's success. Task force members must put aside turf issues and competing agency goals to focus on a shared objective: bringing down the DTO. This is accomplished by the timely dissemination of information, collaboration, and overcoming organizational barriers between and among participating agencies.

The number of simultaneous multi-region drug investigations is an OCDEF output, as is the number of DTO and related money laundering investigations. The chief output of OCDEF task forces is DTO identification. This requires the development of intelligence on the DTO's members, activities, methods, and drug and cash flows. Thus, important OCDEF outputs include the number and type of DTO investigations, the flow of cases, and the number of indictments.

The OCDEF program is intended to enable attorneys to shape investigative efforts to more efficiently develop cases and minimize legal challenges to the evidence. An important output of the OCDEF interdepartmental task forces is to facilitate the speed of the prosecution. Measures of their success in efficiently developing cases include applying for and attaining warrants for wiretaps, searches, and arrests. These tools enable the task force to build strong cases based on large bodies of evidence. Strong investigations produce powerful evidence that will speed the adjudication of the case. A related output of a successful OCDEF investigation is early attorney involvement in the development of case strategy. OCDEF affords prosecutors the time they need to participate in the development of the strategy and to provide the necessary legal services and counsel that investigators require. This involvement ensures that the prosecutions are well thought-out, comprehensively charged, and expertly handled.

One of the most important outputs of an OCDEF investigation is the indictment of DTO members. Indictments are prerequisites for higher order outcomes (e.g., convictions, fines, and seizures). More important than the number of indictments is the type of organizational member brought to trial. The goal of the OCDEF program is to dismantle DTOs; to effectively dismantle an organization, high-ranking members must be identified and removed. If only lower-level members are indicted, successful adjudication of the case may have very little effect on the organization. A primary measure of task force effectiveness is the percentage of higher-level DTO members brought to trial.

2.3.5.3 *Spinoff Investigations*

Through the course of investigating a particular DTO, other organizations may be discovered that warrant their own OCDEF cases. Spinoff investigations are

more than useful by-products of OCDETF investigations; they constitute important outcomes in their own right because they help identify large-scale drug-related criminal enterprises. Many DTOs that are investigated by OCDETF task forces have ties to larger national and international organizations. Spinoff investigations are particularly valuable when they implicate priority organizational targets listed on the CPOT.

2.3.6 OCDETF Program Outcomes

Outcomes of the OCDETF program on a regional level may be measured in terms of regionally significant drug trafficking and money laundering organizations that have been dismantled or disrupted. Program outcomes can also be measured in terms of results related to particular OCDETF cases or disrupted or dismantled DTOs.

2.3.6.1 *Regional Strategy Execution*

The regional strategy is periodically updated to reflect changes in drug trafficking and money laundering organizations. Changes to the regional priority list reflect OCDETF outcomes, particularly when previously identified organizations have been dismantled or disrupted.

2.3.6.2 *Outcomes of Task Force Investigations*

Litigation efforts are targeted selectively on the criminal leadership involved in drug trafficking and are intended to dissolve organized illicit drug-related groups. The success of these investigations and prosecutions can be measured in terms of the number of convictions. Likewise, sentences and fines associated with particular cases are evidence of well-assembled cases and effective investigations. Asset seizures, fines and forfeitures are also important outcomes because they attack the financial base (i.e., resources) of the organization and its members.

2.3.6.3 *Dismantled/Disrupted DTOs*

The ultimate objective of a successful OCDETF case is a dismantled or disrupted DTO. This requires more than the outcome of indictment, conviction, sentencing, and imposition of fines. It requires prosecution and sentencing of high-level organizational members in leadership roles. In terms of dismantling the DTO, lower-level members (e.g., street-level distributors) are less important than key command and control figures. The percentage of defendants in a leadership role who are targeted and displaced is a key outcome of OCDETF investigations. If key players are not convicted and sentenced, the infrastructure of the organization is likely to survive and eventually regain its strength. Asset seizures help destroy the DTO's ability to rebuild, and constitute a key outcome of OCDETF investigations.

The FBI and DEA provide input to the list of CPOTs, which reflects the most significant worldwide drug trafficking and money laundering organizations. The rate at which these organizations are attacked and dismantled is an important outcome of the OCDETF program.

2.3.7 OCDETF Impacts

OCDETF's main goal—the dismantlement of those MDTOs responsible for the greatest supply of narcotics to our country—should be directly related to reducing the overall availability of drugs (FY 2003 Budget Report, p. 2). Accomplishment of this goal is intended ultimately to impact DTOs and the community in terms of reduced drug availability and drug-related crime.

2.3.7.1 *Change in DTO Activity*

A key impact of OCDETF activities is the reduction of the effects of MDTOs. If the DTO is only disrupted, but not entirely dismantled by an OCDETF prosecution, the effectiveness of OCDETF will be compromised. One of the goals of the NDCS is to raise the operating costs for DTOs. If they are to survive increased law enforcement scrutiny, DTOs must adapt to changing conditions. Ideally, this means adopting more costly methods and less efficient means of conducting their activities.

2.3.7.2 *Reduction of Drug Availability*

Because the primary output of DTOs is illegal drugs, the key impact of disrupting their operations should be a reduction in drug availability. When significant DTOs are dismantled, the drugs they supplied should no longer hit the market. According to the law of supply and demand, if the supply is diminished the price should increase. In other words, if dismantling a DTO has an effect on the drug supply, the results should include higher prices and/or lower purity of illegal drugs. Evidence of reduced availability may also be accompanied by an increase in substance abuse treatment.

2.3.7.3 *Drug-Related Crime*

The crime rate and neighborhood safety are two by-products of DTO activities. Trafficking in illegal drugs is responsible for a substantial portion of the violent crime rate. When DTOs are dismantled, the violent crime related to drug trafficking should drop. Assaults and homicides should be reduced as the perpetrators of these crimes are increasingly incarcerated. On the other hand, if prices increase, certain crimes associated with obtaining money to buy drugs (e.g., property crimes, burglaries, muggings) may actually increase.

2.4 SUMMARY: COMPARISON OF HIDTA AND OCDETF

In some regards, HIDTAs and OCDETFs are very similar entities. Both target DTOs. Both have interagency task forces as their primary mechanism. Both are intended to support interagency law enforcement coordination. Neither program exists as a separate investigation organization; there are no HIDTA or OCDETF agents, *per se*. The focus of both programs is on coordinating and supplementing existing law enforcement resources in order to reduce drug trafficking and drug-related violence.

The HIDTA and OCDETF programs have some built-in overlap, but subtle differences reveal a mutually reinforcing, rather than redundant, quality. The OCDETF program focuses exclusively on higher-level, multi-jurisdictional DTOs (i.e., nationally or regionally significant targets). OCDETFs are case driven; as new cases are developed, an investigative task force is assigned for each targeted organization. The task force is the primary unit of the OCDETF program.

In contrast, HIDTAs are designated on the basis of identifiable drug threats, and task forces frequently focus on more discrete elements of drug trafficking (i.e., production, transportation, distribution, use, and financial proceeds), in addition to particular DTOs. Thus, HIDTAs are strategic, rather than case-driven. HIDTAs act on annual drug threat assessments, created by each Intelligence Support Center—the centerpiece of a HIDTA. The area drug threats dictate the types of initiative undertaken by each HIDTA, and multiple task forces are assembled to combat specific elements of the area's drug problems.

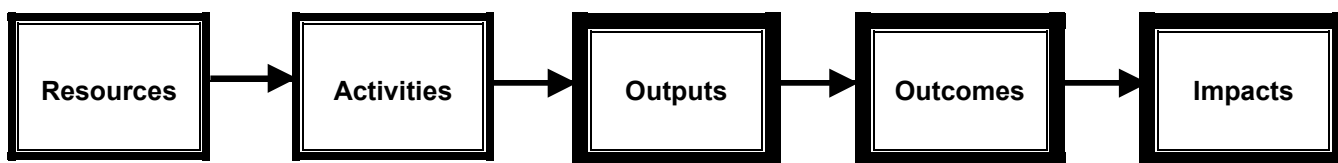
Structural differences exist between the two programs as well. Nine OCDETF regions cover the entire United States. The 28 HIDTAs are located in about 10 percent of the counties in the United States, covering about 66 percent of the U.S. population. The organizational structure for the OCDETF program is comprised entirely of Federal representatives. The overall HIDTA program is managed at a national level as well, but the Executive Board for each HIDTA is composed equally of both Federal and state/local representatives. OCDETF task forces are led by Assistant U.S. Attorneys. HIDTA directors and task force leaders are almost exclusively drawn from a law enforcement background. OCDETF task forces focus explicitly on the individual case, and disband upon case completion. HIDTAs focus on supplementing and coordinating area law enforcement resources, and task forces exist as long as the drug threat persists.

These shared and distinct characteristics will be addressed when developing program logic models and the identification of performance measures for the HIDTA and OCDETF programs.

3. PRESENTATION OF LOGIC MODELS

The logic models discussed in this chapter constitute a pictorial depiction of the information presented in Chapter 2. These models illustrate how the High Intensity Drug Trafficking Area (HIDTA) and the Organized Crime Drug Enforcement Task Force (OCDETF) programs work to achieve their intended objectives. Each model starts with the inputs or resources of the program and shows how the program works through planned activities or processes to produce desired outputs, outcomes, and impacts. The basic elements of the logic model are depicted in Exhibit 3-1. These elements have been described as the “critical” or “core” processes that drive the train (Millar et al., 2000).

Exhibit 3-1. Basic Elements of the Logic Model



Given program goals and objectives, program resources are devoted to program activities, which produce outputs, which result in outcomes intended by the program, which in turn help to create broader impacts. Logic models serve as an essential foundation for this project because they indicate the key items that have to be monitored for performance (Hatry et al., 1996). The bold lines encompassing the outputs, outcomes, and impacts boxes are intended to emphasize their foremost importance in designing and implementing a performance monitoring and management system for the HIDTA and OCDETF programs.

This chapter discusses issues that may influence the development of logic models, describes the purposes of logic models, and presents the logic models for the HIDTA and OCDETF programs.

3.1 ISSUES INFLUENCING DEVELOPMENT OF LOGIC MODELS

A logic model is an abstract representation of a real-world situation. If the model is to have utility, several operational issues must be taken into consideration.

First and foremost is a definition of terms. The following definitions are proposed for development of logic models for the HIDTA and OCDETF programs:

- *Resources*—include funding, personnel, facilities, equipment, and supplies.
- *Program activities*—are actions taken to execute policy and program objectives. Particularly at the beginning of a program, activities may include development of an infrastructure (e.g., forming/negotiating relationships

among agencies, capacity building). Ongoing activities may include program components, such as delivery of a training program, or program initiatives, such as the operation of a task force.

- *Outputs*—reflect internal activities and are the direct results of program activities. They are intended to fulfill program objectives and can usually be expressed quantitatively (e.g., number of people who completed a training program, number of arrests resulting from a task force investigation, or rate of convictions from prosecution of members of a drug-trafficking organization).
- *Outcomes*—are the results of program outputs or products that signify progress toward program goals. Outcomes are usually expressed as an intended change, such as better-trained law enforcement officers, disruption of a drug-trafficking ring, or closing down of a money-laundering operation. In measuring outcomes, it is also important to recognize unintended consequences downstream, such as the adaptive response of drug trafficking organizations (DTOs) to pressure from law enforcement actions or negative outcomes such as the number of innocent bystanders or law enforcement officers injured in the line of duty during an OCDETF investigation.
- *Impacts*—often described as long-term outcomes, are the broader, sometimes indirect effects of policies and programs. Impacts may be reflected in measures external to the program (e.g., lower drug crime rate or lower violent crime rate), as measured by a jurisdiction’s annual crime report, or reduced availability of a drug or lower emergency room admissions for drug-related causes. In measuring impacts, it will be important to distinguish between “temporary” and “permanent” impacts. For example, a HIDTA or OCDETF activity may result in an increase in drug prices and/or a decrease in the purity of drugs available on the street. However, the volatility of drug markets may result in these changes being temporary in nature rather than permanent impacts. Establishment of a cause-and-effect relationship between a program and its impact requires a rigorously designed evaluation.

In addition to isolating and defining these components, the logic model depicts the temporal sequence of program activities, outputs, and outcomes, building from left to right in the logic model diagram. Logic models also accommodate top-down and bottom-up analyses. This is useful to both local program directors and task force leaders who usually focus on day-to-day activities and outputs as well as to Office of Management and Budget (OMB) analysts and national program offices that focus more on outcomes and impacts.

Two other categories will be included in the logic models developed for the HIDTA and OCDETF programs and are defined here:

- *Antecedent variables*—are environmental factors, preexisting in the program environment, that may influence program activities, outputs, and outcomes and may, thus, affect the achievement of program goals. Antecedent variables may facilitate program effectiveness (e.g., established organizational or

interpersonal relationships) or act as a barrier (e.g., competing policies or regulations, turf issues, geographic dispersion).

- *Contextual or mediating variables*—are non-program factors, operating concurrently in the program environment, that may improve or impede program outputs and outcomes. It is especially important to take contextual variables into account when trying to attribute outcomes to program activities (i.e., to establish a cause-and-effect relationship).

Antecedent and contextual variables are real-world factors that should be included in the logic models for the HIDTA and OCDETF programs because of the potential influence on overall program performance. The HIDTA program, for example, requires coordination among Federal, state, and local agencies. The logic model should capture these intergovernmental relationships and the role played by each agency at each governmental level. These distinctions are important to support an understanding of performance related to a HIDTA activity and a single-agency activity, as well as the respective outputs and outcomes.

Interagency collaboration should also be considered. A given OCDETF case, for example, may involve the collaboration of agents from the Federal Bureau of Investigation (FBI), Drug Enforcement Administration (DEA), Bureau of Alcohol, Tobacco and Firearms (ATF), Immigration and Naturalization Service (INS), and the Internal Revenue Service (IRS), as well as state and local law enforcement agencies (LEAs). Although several charges emanating from the different agencies might be included in the indictment, the U.S. Attorney is most likely to prosecute the charge that has the best chance of resulting in a conviction. The logic model must be able to capture that conviction as the desired outcome, but it must also be able to capture the resources, activities, and outputs that led to the conviction, both to assess the cost of that outcome and to give credit to the collaborating agencies.

Two caveats apply to the development of logic models. The first is that the logic model posits a series of if-then relationships; it does not demonstrate cause-and-effect relationships. The logic model illustrates the process that is intended to produce a desired result. Each component part of the logic model—resources, activities, outputs, and outcomes—can be measured independently. Establishing the actual relationship between the component parts requires analysis and evaluation. That analysis and evaluation must take into account antecedent and contextual variables from the real world to measure program success and effectiveness.

The second caveat has to do with length of effect: the shorter the length of time intervening between a program output and an intended program outcome, the more likely it is that the program outcome is a direct effect of the program output. The investigation of a drug smuggler (program activity) of a HIDTA or OCDETF target that leads to his arrest (program output) should lead directly to his prosecution and conviction (program outcome). His prosecution and conviction, however, will not necessarily result in reduced availability of the drug being

trafficked (desired program impact). Even when the availability of the drug is reduced, it will be important to learn whether the reduction resulted from the conviction or from some external factor (contextual variable). Again, an evaluation is required to demonstrate this cause-and-effect relationship. The “length of effect” issue is important in developing a logic model because it cautions against unrealistic expectations on the part of program stakeholders and program funders.

A third caveat relates to the complexity of some of the desired goals of the HIDTA and OCDEF programs. For example, it is unlikely for a particular HIDTA or OCDEF program to produce a decline in drug-related crime rates in a given year. In fact, reliance on changes in crime rates alone can be deceiving. As Blumstein and Rosenfeld have noted, a decline in homicide rates might be the result of changes in policing, “but other factors could well be involved... [including] community efforts to mediate inter-gang disputes, a greater availability of jobs in the booming economy, [and] changing drug markets with diminished roles for young people...” (Blumstein and Rosenfeld, 1998, p. 1177). Likewise, it is extremely difficult for one program to decrease drug-related violence or reduce drug use because the manager of the HIDTA program or the lead investigator of the OCDEF has limited control over the influences that affect these kinds of changes in the community or at the larger regional level.

A final consideration in the development of logic models for the HIDTA and OCDEF programs is the need for program flexibility and concomitant adaptability of the model. This is particularly important for both the HIDTA and OCDEF programs since the underlying mission of each program encourages innovation and flexibility in implementation of the program within a particular community or region, including the ability to change program focus from year to year. Each site is likely to vary in terms of its strategy, initiatives, and the number and types of agencies involved in the program implementation. For this reason, the logic models developed for monitoring the performance of the HIDTA and OCDEF programs are intended to construct a core model for each program. These models are not intended to be fixed in stone or to remain static over time. Programs should be held accountable only for impacts listed in their budget justification. As program goals and objectives change, the content and configuration of program components included in the logic model must change.

3.2 PURPOSES OF LOGIC MODELS

Historically, logic models have been used to illustrate graphically how a program is intended to work. The relationships between the component parts of the logic model are especially important when designing a performance monitoring and management system that is (1) to measure outputs, outcomes, and impacts, and (2) to determine whether a program had its intended effect. If the program did have its intended effect, it is important to understand why it was successful; if not, it is important to determine why. Were program resources adequate? Were program activities carried out as planned? Did those activities produce the

intended results (outputs)? What intervening variables affected the outcomes? Were there unintended effects? Logic models enable one to frame research questions and hypotheses that must be addressed when assessing program performance.

More recently, and especially since implementation of the Government Performance and Results Act (GPRA), logic models have been used for program planning. GPRA has intensified a national focus on accountability. According to the law, instead of measuring performance by what they do, Federal programs should measure performance by results. In logic-model terms, instead of measuring performance by activities and outputs, government agencies are expected to measure their performance by outcomes. Furthermore, to justify their budgets, programs are expected to demonstrate that the outcomes achieved are commensurate with the resources expended. In this environment, government agencies have turned to logic models to determine what resources are needed to perform a set of activities that are designed to produce specified outputs that will lead to targeted outcomes.

Concurrent with GPRA compliance, over the past several years, government agencies have increasingly shared responsibility for programs. Because different agencies have different objectives, it is important that they agree on what they collectively are trying to accomplish and who is responsible for various components of the shared mission. In this regard, logic models have proven to be successful in gaining consensus among stakeholders. The logic model can show what resources are coming from which agency, which activities are the responsibility of particular agencies and which activities are joint efforts, and how their collective efforts can achieve program objectives.

Logic models also serve as a framework for performance monitoring because they identify what is to be measured. As Harrell notes, in designing performance monitoring, “the logic model is used to focus on which kinds of output and outcome indicators are appropriate for specific target populations, communities, or time periods” (Harrell, 2002, p. 4). As a framework, the logic model helps to identify what measures are appropriate, what data are available to serve as indicators of these measures, and what are the strengths and limitations of the available data sources. The logic model also helps to identify those program elements for which measures do not currently exist and what information might be used as proxy measures.

3.3 LOGIC MODEL FOR HIDTA PROGRAM

The logic model for the HIDTA program is presented as Exhibit 3-2. It is necessarily a generic model in that one model cannot possibly depict the variety of programs being implemented across the 28 HIDTA sites. Chapter 4 discusses the specific elements in the logic model in more detail (see Exhibits 4-1 and 4-2).

The logic model for the HIDTA program respects the lessons documented by research as well as the direction of the GPRA in that it recognizes the linkages between resources, activities, outputs, outcomes, and impacts. However, in order to emphasize the critical importance of the program—to make a change in long-term impacts associated with fulfilling Goal 3—the HIDTA program logic model starts and ends with these impacts as the overriding concern in describing the intended operation of the program.

3.3.1 Resources

For purposes of this model, resources are defined as funding, personnel, facilities, equipment, and supplies. Resources for the HIDTA logic model are depicted in two components, resources and partners, with resources represented by funding and partners including Federal, state, and local LEAs and other partner programs, such as the HIDTA Director and the Executive Board.

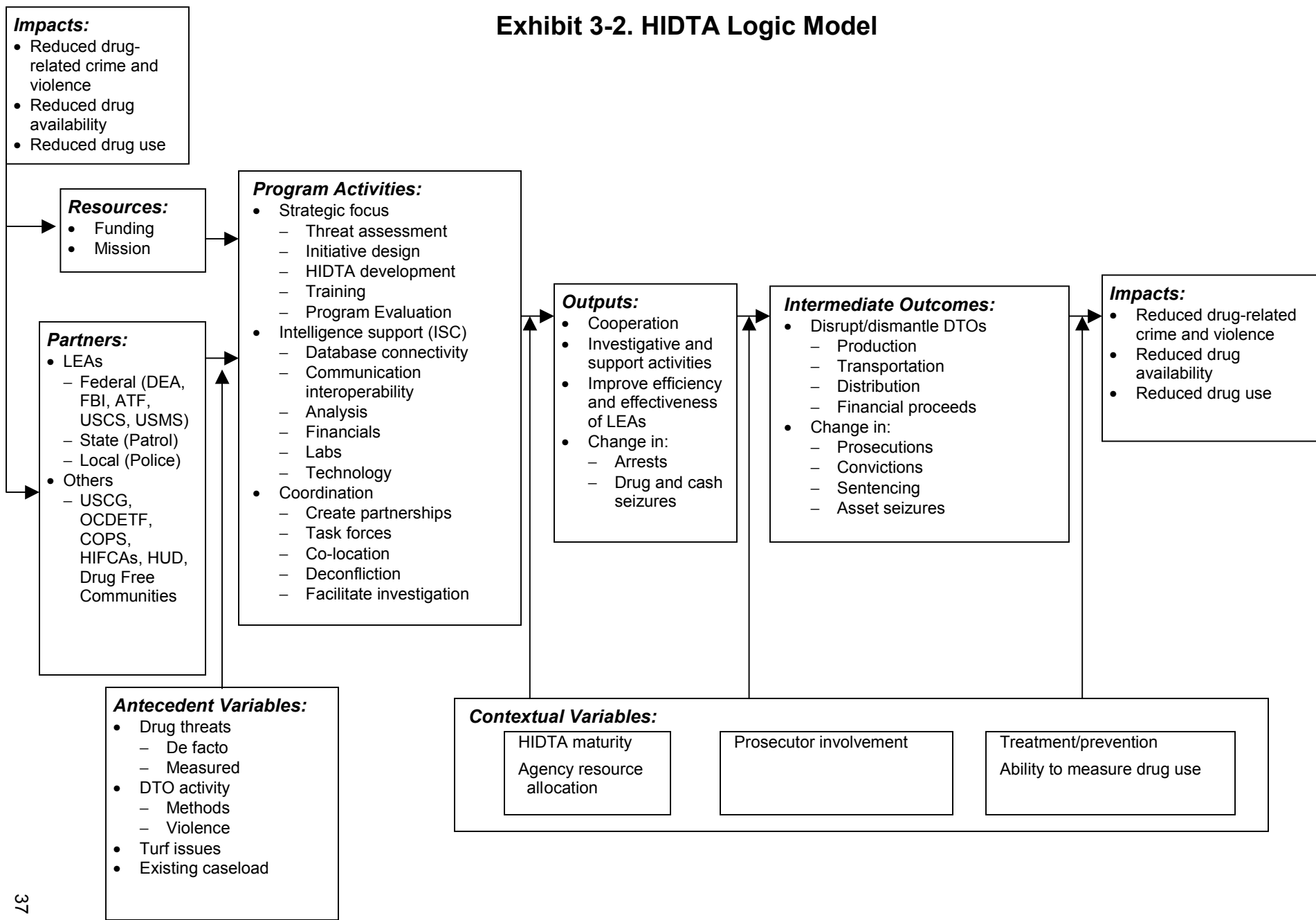
3.3.2 Program Activities

Program activities in the logic model are organized in three broad categories: Strategic Focus, Intelligence Support, and Coordination. Activities in the Strategic Focus category include HIDTA development, training, and program evaluation and are carried out to improve the efficiency and effectiveness of law enforcement (Goal 1). Other activities classified under Strategic Focus, such as threat assessment and initiative design, are directed at reducing the effectiveness and impact of DTOs (Goal 2). The second category of HIDTA activities, Intelligence Support, is intended to improve law enforcement capabilities (Goal 1), but these activities are more directly applied toward reducing the effectiveness and impact of DTOs (Goal 2). As with Strategic Focus, Coordination activities support both Goal 1 and Goal 2. Achievement of Goal 1, by itself, does not constitute program success. Rather, it is an important precursor to achieving outcomes related to Goal 2.

3.3.3 Outputs

The intended product of HIDTA activities is greater cooperation among Federal, state, and local LEAs within the region, more efficient investigations, and support for those investigations. These outputs are the intended product associated with achieving Goal 1 of the HIDTA program. These outputs need to be measured at the individual agency level. They can be measured by documenting changes in LEA procedures, increased participation in collaborative planning, and decreases in barriers to interagency cooperation.

Exhibit 3-2. HIDTA Logic Model



Outputs for individual task forces will have to be measured. These outputs can be measured, at a minimum, by arrests and seizures, which should reflect some degree of change from year to year. Overall, the measures of outputs provide a gauge of improved efficiency and effectiveness of law enforcement within the HIDTA, which is to say an assessment of the accomplishment of Goal 1. However, by themselves, they do not constitute a measure of program success.

3.3.4 Outcomes

Program outcomes will constitute the accomplishment of Goal 2, to reduce the efficiency and impact of DTOs. The outcomes of HIDTA task forces will include prosecution, conviction, and sentencing of drug traffickers and seizure of their assets. The collective efforts of Federal, state, and local LEAs should be reflected in the dismantling or disruption of production, transportation, distribution, and the money laundering capability associated with those activities.

3.3.5 Impacts

Program impacts result from the accomplishment of Goal 3: to increase the safety of U.S. neighborhoods. Reduced violence, drug availability, and drug use are major indicators of neighborhood safety and can reasonably be linked to the dismantling or disruption of drug-trafficking activities. Elements of the impacts presented in the HIDTA logic model (Exhibit 3-2) refer to drug violence, availability, and use in a generic manner. Ultimately, when this logic model is refined for use with a particular program, drug specificity will become an important issue that must be defined.

3.3.6 Antecedent Variables

The HIDTA program was created to focus on those areas of the country that face the greatest threat posed by DTOs. Thus, by definition the two major antecedent variables faced by a HIDTA program are the severity of the drug threat and the volume and nature of drug-trafficking activity. Both of these variables are important but are difficult to measure. Other antecedent variables that may come into play include “turf issues” that create competition or tension among LEAs, and the caseload those agencies already carry. Turf issues may be easier to acknowledge than to measure, but existing caseload can and should be measured, both to identify constraints and to mark progress.

3.3.7 Contextual or Mediating Variables

As shown in the logic model for HDTAs, different contextual or mediating variables can be expected to have an effect on different components of the program. The ability of program activities to produce their intended outputs will almost assuredly be affected by the maturity of the program and by agency resource allocation. The extent to which arrests and seizures lead to prosecution and convictions will most likely be affected by the degree of prosecutor

involvement. The extent to which drug trafficking is dismantled or disrupted will also depend, to some degree, on the point at which the prosecutor becomes involved in the process. Measurement of the impact of the program on drug use is complicated by the ability to measure drug use and by the availability and effectiveness of drug prevention and treatment programs.

3.4 LOGIC MODEL FOR OCDETF PROGRAM

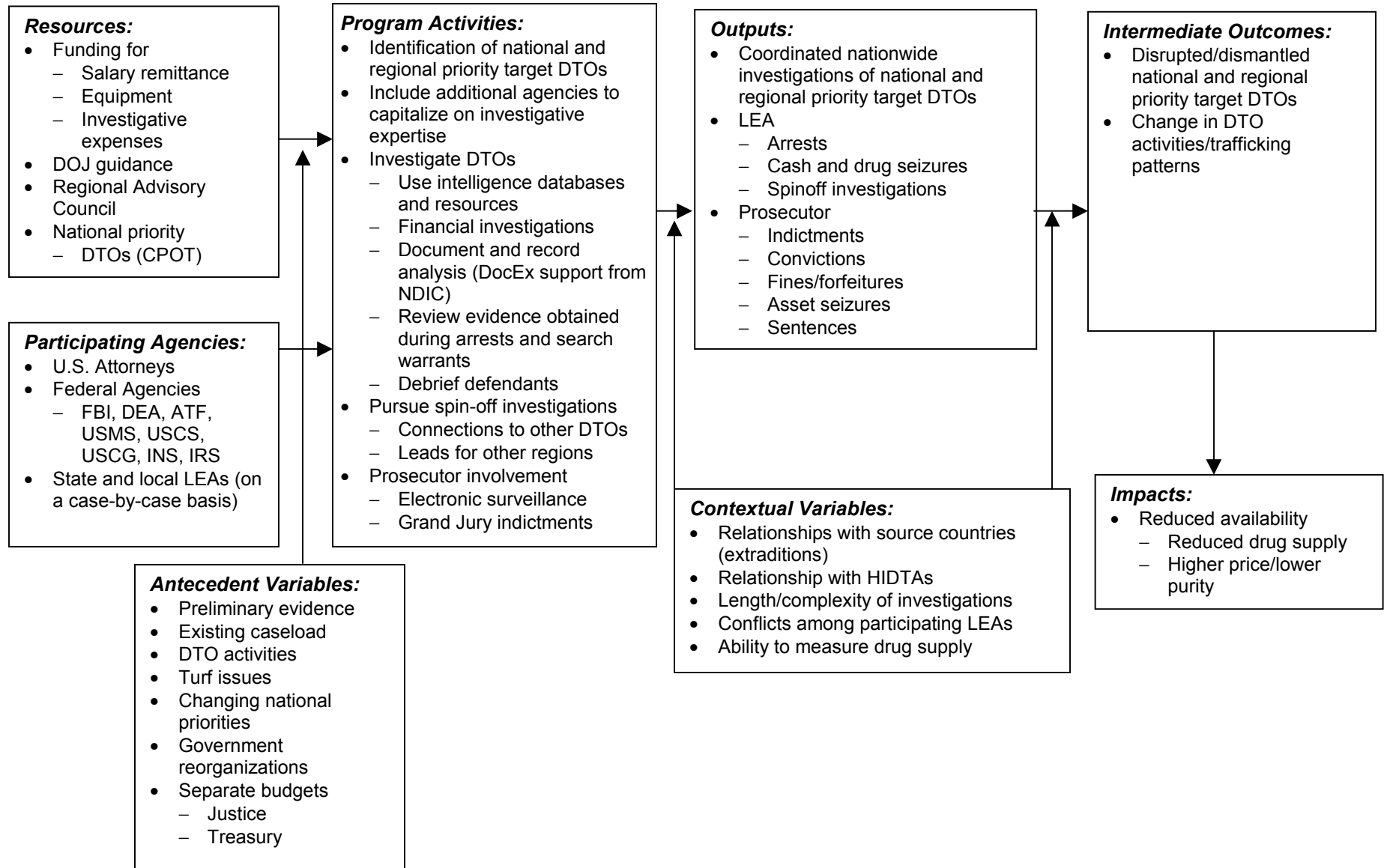
The logic model for the OCDETF program is presented as Exhibit 3-3. Chapter 4 discusses the specific elements in the logic model in more detail (see Exhibits 4-1 and 4-2). The OCDETF program includes substantial cooperation and coordination at the national level in Washington, D.C., involving the OCDETF Executive Committee, the OCDETF Executive Office, the Operations Chiefs Group, and the Washington Agency Representative Group (WARG). However, the OCDETF logic model is focused on field operations in the nine regions where OCDETF cases are investigated and prosecuted.

Elements of the logic model reflect the goal and objectives of the OCDETF program. The goal is to identify, investigate, and prosecute the most significant drug trafficking and money laundering organizations and their related enterprises, and to dismantle the operations of those organizations in order to reduce the drug supply in the United States. To accomplish that goal, each OCDETF region works toward four objectives: (1) to target, investigate, and prosecute individuals who organize, direct, finance, or otherwise engage in high-level illegal drug trafficking and related enterprises, including large-scale money laundering organizations; (2) to promote a coordinated drug enforcement effort in each OCDETF region, encourage maximum cooperation among all drug enforcement agencies, and involve prosecutors early in the development of investigations; (3) to work fully and effectively with state and local drug enforcement agencies; and (4) to make full use of financial investigative techniques, including tax law enforcement, enforcement of Titles 18 and 31 currency and money laundering statutes and related asset-forfeiture provisions.

3.4.1 Resources

Resources for the OCDETF program fall into two major categories: funding and personnel. Facilities, equipment, and supplies are provided by the core city U.S. Attorney in each region. Funding is for salary reimbursements, overtime expenses

Exhibit 3-3. OCDETF Logic Model



incurred by participating state and local LEAs, and investigative expenses. Personnel for each OCDETF case are drawn from the U.S. Attorney's Office and from two or more of the agencies listed on the diagram.

3.4.2 Program Activities

Program activities, consistent with the goal and objectives of the OCDETF program, include the development of regional strategies; identification of major drug trafficking and money laundering organizations; collaboration of Federal agencies and, where appropriate, state and local LEAs; investigations of DTOs, including early attorney involvement when called for, and sophisticated financial techniques; and prosecution of cases.

3.4.3 Outputs

OCDETF program outputs include approved regional strategies; arrests of DTO leaders and members; seizures of drugs and forfeiture of proceeds and assets; and, for attorneys, indictments. Other possible outputs include providing intelligence and leads to other OCDETF investigations, contributing to nationwide multi-agency investigations, and developing spinoff investigations of other major DTOs.

3.4.4 Outcomes

Outcomes include the implementation of regional strategies, convictions of DTO leaders and members, and disruption or dismantling of DTOs. Disruption may include change in drug trafficking patterns, change in transportation modes, or change in distribution points, in each instance making trafficking, transportation, or distribution more difficult and less cost-effective for the DTO. Dismantling includes long-term sentences of DTO leaders and the elimination of money laundering systems.

3.4.5 Impacts

The intended impact of the OCDETF program is to reduce the drug supply in the United States. Corollaries of reduced supply include an increase in drug prices and a decrease in drug purity.

3.4.6 Antecedent Variables

The introduction of the Consolidated Priority Organization Target (CPOT) list and the new requirement for regional strategies must be considered major antecedent variables for the OCDETF program. Those initiatives will affect designation of cases as OCDETF cases, which already must meet specific criteria for case initiation and approval at the district and regional levels. Other factors include the degree of sophistication of the DTO and possibly, if not likely,

international connections of the organization, the existing caseload within a given district or region, and possible turf issues between agencies.

Especially critical for monitoring performance will be the need to recognize and document the extent to which Federal agencies' resources are diverted from drug trafficking to counterterrorism initiatives.

3.4.7 Contextual or Mediating Variables

The length and complexity of OCDETF cases, which require significant expenditures of agent time and sophisticated investigative techniques, are important contextual variables. Another contextual variable that must be documented relates to events that occur when international organizations are involved in U.S. relations with other countries.

3.5 SUMMARY

The logic models presented in this chapter have been reviewed by national program offices for the HIDTA and OCDETF programs, have withstood the scrutiny of outside experts, and will serve as the foundation for identifying a menu of measures to be presented in Chapter 4 of this report.

4. PERFORMANCE MEASURES

The performance measures for this project are designed to provide a comprehensive understanding of the High Intensity Drug Trafficking Area (HIDTA) and the Organized Crime Drug Enforcement Task Force (OCDETF) programs and to monitor each program's progress over time. A performance measure is a gauge of how well the program is working. For some measures, existing data sources are available; in other cases, new data sources will need to be developed to produce the measures. The measures will be used to assess the extent to which a program is achieving an outcome and to respond to two important questions (Pratt et al., 1998):

- What are the benefits of the program's activities (outcomes)?
- What are the benefits for the communities or regions targeted by a HIDTA or OCDETF task force (impacts)?

The performance monitoring and management system and its measures must reflect the complexity of both the HIDTA and OCDETF programs. Performance should be measured in terms of the activities, goals, and outcomes at the program, task force, and regional level. The four aspects of drug trafficking—drug production, transportation, distribution, and financial transactions—provide a framework for deciding on the HIDTA or OCDETF program outcomes. The program activities undertaken to target these drug trafficking problems include intelligence, investigations, interdiction, and prosecution. All of these activities are interrelated yet distinct practices that have shared and separate outputs and outcomes, and all should be measured in the ideal. In addition, the Office of National Drug Control Policy (ONDCP) and the U.S. Department of Justice (DOJ) will want to measure the progress of the HIDTA and OCDETF programs in reaching higher-order objectives established by each agency in its annual mission statement.

4.1 SELECTION OF MEASURES THAT ARE SENSITIVE TO PROGRAM CONTEXT

The selection of performance measures must be relevant to the context and operation of the program. Performance measures must respect the mission of both the HIDTA and OCDETF programs and the manner in which the programs are implemented. These program-sensitive issues include an understanding of the "reach" that can be made by the HIDTA and OCDETF programs, the geographic targets of these programs, and the appropriate level of program operation, or unit of analysis, given the focus of each program's activities.

4.1.1 The Reach of the HIDTA and OCDETF Programs

Both the HIDTA and OCDETF programs focus on dismantling drug trafficking organizations (DTOs) and other related activities to disrupt the drug market, thereby reducing drug-related crime activity. The ultimate success of these activities is envisioned to be a reduction in the overall drug problem, as measured by drug use, availability of drugs, and other global changes in the community. However, it is important to recognize that the HIDTA and OCDETF programs, like other task force initiatives, operate within complex environments with existing forces outside the program's control. To use "decrease in use of drugs" as an outcome measure of success without considering other forces in the community would not constitute an accurate assessment of performance. As Friedman notes, performance systems should "provide fair gauges of agency and program performance" (Friedman, 1997, p. 9). It is for this reason that the performance monitoring and management system and related measures described in this report make an important distinction between program outcomes and impacts on the community.

The reach of the program must also consider the realities of measuring long-term outcomes that are distinguished as impacts in the HIDTA and OCDETF logic models presented in Chapter 3. Appropriate use of measures dictates that the focus should ultimately be on the long-term outcomes to be achieved. Measures of these long-term outcomes may not be possible to document for several years following the initiation of a HIDTA program or OCDETF investigation. Measures of shorter-term outcomes must be taken early in the process, with a shorter expected lag time of several months. Other measures, including process-related measures and short-term outcomes need to be monitored until sufficient time has elapsed that long-term outcomes can be assessed through a combination of performance monitoring and program evaluation (Bernstein, 1999, p. 89). It is always easier to reach agreement on long-term goals, like reducing crime or drug use, but measurement of performance requires breaking down goals into annual objectives, specifying how they will be achieved, and getting agreement on priorities, approaches, and roles. These issues have been considered in developing the menu of measures.

4.1.2 Geographic Target of the Program

OCDETF cases often focus on DTOs that have an influence in multiple regions across the country. These geographically disbursed operations may have impacts in several different states and regions of the country. Similarly, HIDTAs are funded because the drug problem in the designated community has an impact on other far-flung parts of the country. Alternatively, the drug problem in the HIDTA-designated community may be largely created by DTO activity in other regions of the country. Program managers must address these issues as they decide on the geographic unit of analysis for a performance measure. In developing the implementation plan for the performance monitoring and management system, it will be important to develop measures for the geographic

region that represents the intended area of influence for the respective HIDTA or OCDETF program being monitored.

4.1.3 Level of Program Operation

Another program characteristic common to the HIDTA and OCDETF programs is the level of program operation that should be the focus of the performance monitoring and management system. For the HIDTA program, performance may be measured at the program level (nation), at the regional level (program), or at the initiative level (strategy). Similarly, OCDETF performance measures can be reported for the overall program, at the regional or district level, or for individual cases and task forces.

Each level of analysis imposes different requirements on the development of measures. Drug-related statistics, such as drug use rates, may serve as appropriate measures at the national level; however, the geographic sphere of influence for a HIDTA or OCDETF activity is likely to occur within a particular community or set of communities, depending on the focus of the task force or the investigation. This geographic consideration will affect decisions about which indicators serve as appropriate measurement sources for assessing the performance of a program task force or initiative.

4.2 QUANTITATIVE AND QUALITATIVE MEASUREMENTS

Both quantitative and qualitative data sources need to be identified and developed to measure the performance of the HIDTA and OCDETF programs. Quantitative data exist in many current sources, including HIDTA and OCDETF program reports and management information systems, and in other national and local data reporting systems. HIDTA annual performance reports include data that measure outputs such as arrests and drug and cash seizures. The OCDETF management information system reports indicators of outcomes on particular OCDETF investigations. Other quantitative indicators include law enforcement agency (LEA) crime reports, emergency room (ER) reports, coroner reports, surveys on drug use, and court records of indictments, prosecution, convictions, and sentencing. These indicators can be used to count incidents related to program activities, outputs, and some outcomes for both the HIDTA and OCDETF programs. However, these reporting and assessment tools are not sufficient to enable program managers to draw conclusions about either program's impact on drug production, drug transportation, drug distribution, or drug use.

Systematic collection of qualitative information can be very useful, particularly when quantitative data are unavailable or insufficient to describe program results. Qualitative assessments of performance enhance the robustness of quantitative data and strengthen program managers' ability to support assessments of performance. This kind of information can be collected through structured interviews and focus groups with community informants, knowledgeable citizens and community experts, and law enforcement officers. Anecdotal information

collected through expert and informant interviews and focus groups can produce powerful “stories” to help explain the effectiveness of a program. This information can also be gleaned from intelligence reports (e.g., intelligence center reports) and reports developed by groups engaged in ethnographic and epidemiologic research (e.g., the Community Epidemiology Work Group [CEWG] and Pulse Check research networks). Qualitative information can be rich in detail and can provide a valuable context for interpreting quantitative data.

An appropriate balance between quantitative and qualitative information sources will provide a sound foundation for the HIDTA and OCDETF performance monitoring and management system. Quantitative measures such as crime rates, drug arrests, and other conventional indicators have been described by researchers in the field (see Rosenfeld and Decker, 1999) as bottom-line measures of program success. However, the qualitative opinions and other input of informed law enforcement officers and other task force partners will provide a grounding and context for understanding the results of the program’s performance. DiIulio (1992) recommends such a paradigm to enhance a general understanding of the workings of the criminal justice system (p.7).

Both quantitative and qualitative measures present unique challenges, as well as important contributions to the performance monitoring and management system developed for the HIDTA and OCDETF programs. The following paragraphs examine some measurement and related criteria or issues to consider in assessing the strengths and limitations of measures included in the Menu of Measures.

4.3 CRITERIA FOR SELECTING MEASURES AND MEASUREMENT SOURCES

ONDCP and DOJ have agreed on four criteria to guide the selection of measures and data sources for the HIDTA and OCDETF performance measurement and management system. These criteria include (1) the credibility of the measure to ensure that the information is useful and relevant (i.e., how well it communicates the documentation of an activity, output, outcome or impact and how useful it is to stakeholders and program managers); (2) the consistency of the measure (i.e., whether it can be continuously collected over time); (3) the degree of comparability across HIDTA program sites and OCDETF regions (i.e., whether the same types of data are collected in a similar fashion across sites); and (4) the extent to which the data are either readily available or can be collected without extensive cost or additional burden to program staff. These criteria respect the advice of well-known researchers in the field (Pecora, 1998). Another important issue, related to the generalizability of data, is addressed in this section.

4.3.1 Credibility of the Measure

To be useful as a performance measure, the indicator must measure an output, outcome, or impact that represents a construct of interest to the program; that is, it should measure something useful and relevant to stakeholders and program

managers. This issue relates to the credibility of the measure or to its ability to communicate intended changes. Some of the traditional measures used in assessing the end result of programs, like HIDTA and OCDETF, do not recognize the latency between action and results. For example, one of the goals of large interdictions and drug seizures is a decrease in the availability and purity of drugs and an increase in price. It is important to note that these effects are often transitory; availability may decrease shortly after a major event and then return to its previous levels rapidly. Many of the measures used for gauging illegal drug use are collected annually and are thus insensitive to transitory fluctuations resulting from law enforcement efforts. Supplementing these quantitative measures with documented and current input from informed experts in the community can help program managers address this potential problem.

4.3.2 Consistency and Comparability of Measurement Data

OCDETF strategies vary by region and task force, and HIDTA activities are often uniquely tailored to the jurisdiction of the initiative being implemented. This variation must be considered by the researchers who compile and use the data extracted from law enforcement records. The comparability of crime reports varies from one LEA unit to another. Also, crime data included in the FBI's Uniform Crime Reporting System (UCR) suffer from problems associated with variations in reporting at the local level. Therefore, in using these and other reporting systems that may be intended to report on the same outcome domain, whether it be crime, drug use, or some measure of violence, it is important to assess the degree to which indicators across jurisdictions are based on the use of common definitions.

Differences in tabulating arrest data across jurisdictions can affect the comparability of these sources for performance monitoring of programs, such as HIDTA or OCDETF, that cover multiple jurisdictions. Increases in drug-related arrests or drug-related prosecutions may reflect a concentration on low-level management within a DTO. Because the focus of OCDETF task forces is on the command and leadership of the DTO, it is important to interpret these data sources carefully. While arrest and prosecution counts may be useful for measuring outputs of a task force or initiative, these indicators should be supplemented with other information to assess the effectiveness of the program in achieving its intended targets on top DTO leadership.

Likewise, when using seizure data as a measure of program activity, it is important to gather data on the denominator of the problem. Drug smuggling and distribution are clandestine by their very nature. Without knowledge of the actual amounts of illegal drugs entering the market, seizure data, analyzed by itself, may simply signal an increase in drug trafficking and not in the effectiveness of the HIDTA or OCDETF program activity.

4.3.3 Availability and Cost of Information

Some quantitative measures are relatively inexpensive to collect, particularly if they already are being gathered for other purposes. For example, LEAs routinely gather many statistics on crime and crime-related events and outcomes, report statistics that represent the outputs and outcomes of investigations, and followup prosecutorial and judicial actions. While statistics on crime rates are only one measure of the success of a criminal justice effort, they do provide a meaningful overall measure of success in protecting public safety. Performance measures that incorporate these data will not constitute a major burden in costs or staff time on most HIDTA and OCDETF program managers. This issue of “availability” of data was an important consideration in developing the menu of measures.

While existing data sources have their limitations when adapted for purposes other than originally intended, their use avoids the cost and time required to develop tailored surveys and other expensive reporting systems for the HIDTA and OCDETF programs.

4.3.4 Generalizability of the Data Source

Survey data must be analyzed carefully to avoid misuse of the data. The sampling methodology of any survey must be assessed to account for its representativeness of the population being studied. In using survey data as an input to the performance measurement of HIDTA and OCDETF program activities, it is important to also consider the power of the survey to support estimates at the regional level. Many national surveys, such as the National Household Survey on Drug Abuse (NHSDA), produce data at the national or state level but not at the county level. Many other federally supported surveys, such as the Drug Abuse Warning Network (DAWN), report data on fewer than 30 major metropolitan locations throughout the country. This presents a particular challenge to the monitoring of HIDTA program performance because HIDTAs are designated by county and often span several state jurisdictions.

Sampling methodology is also an important consideration when using data on seizures and undercover drug buys as a performance measure. The System to Retrieve Information from Drug Evidence (STRIDE), the Heroin Signature Program (HSP), and the Domestic Monitoring Program (DMP) use forensic analysis to determine drug purity and the source of origin. These lab-reporting systems provide objective measures, unavailable through other means. However, because the sampling methods of these systems tend to be nonrandom and unsystematic, these indicators should not be used to measure community-at-large outcomes.

There are a variety of data sets available to produce measures of criminal and drug activity. It is important to interpret these data sources correctly so that attribution to the appropriate population is made. For example, data exist to report on the results of arrestee urinalysis, substance abuse admissions, ER visits, and coroner reports. Each reporting system provides a hard measure of drug use with

some caveats. Data reporting on the results of arrestee urinalyses relate to a highly specific population; these results should not be generalized to the general population.

Similarly, while reports of ER visits and drug-related deaths provide an index of hard-core drug abuse, they do not provide a measure of occasional or recreational drug use. For example, a rise in methamphetamine ER admissions probably does signal a potential problem, but it does not necessarily represent the level of methamphetamine use in the general population.

4.4 ORGANIZATION OF THE MENU OF MEASURES

The logic models for the HIDTA and OCDETF programs, presented in Chapter 3, serve as the foundation for the development of the menu of measures (see Exhibits 4-1 and 4-2). Exhibit 4-1 presents a list of currently available data sources that can be used to access information that measures intended outputs, outcomes, and impacts for the HIDTA and OCDETF programs. Exhibit 4-2 presents a list of currently available data sources that can be used to document antecedents, resources, partners, activities, and mediating variables necessary to monitor the HIDTA and OCDETF programs. For both exhibits, it is important to note that only existing national data sources are listed. This is a good starting point, but these data sources will need to be expanded to include other data available at the local level, as well as other data collection methods that can develop more sensitive and timely measures, using both quantitative and qualitative information.

The focus of any performance monitoring and management system must be on the outputs, outcomes, and impacts, many of which are listed in Exhibit 4-1. With limited Federal, state, and local resources to combat the problems associated with drug use, achievement of success must be measured in terms of these kinds of indicators. At the same time, however, the performance monitoring and management system developed must recognize that Government Performance and Results Act (GPRA) and the Office of Management and Budget (OMB) require that program resources, activities, and partners also be measured. These requirements are the focus of Exhibit 4-2. The data sources included in these two exhibits are intended as a departure point. Each program manager may select from these menus and identify other relevant data sources in a manner that accommodates measurement of the individual program's goals, objectives, strategies, and initiatives.

Within each exhibit, measures are presented by program (HIDTA and OCDETF) for each major category of variables. For each proposed measure, the menu presents the domain to be measured, the measure, a data source, available variables, the frequency of the data collection, and the unit of analysis. As becomes evident in reviewing the menu of measures, some information is missing. Chapters 5 and 6 of this report present some recommended approaches for developing additional information, not contained in currently available

sources, to fill these data gaps. Policymakers and program managers will need to make decisions about what new reporting systems should be developed, and to decide how the measures will be ranked and which items will serve as core measures to be adopted by both the HIDTA and OCDETF programs. To a certain extent, missing information can be provided by the drug intelligence community, task force participants, and knowledgeable community informants and through careful review of annual reports and strategic plans prepared by HIDTA and OCDETF. The menus of measures, presented in Exhibits 4-1 and 4-2, constitute an important contribution to the continued process of narrowing the scope on what to measure, where the measures currently exist, and how to prioritize the measures.

Exhibit 4-1. Menu of Currently Available Data Sources for Outputs, Outcomes, and Impacts

| HIDTA Measures | | | | | |
|----------------------------------|----------------------------|--|---|-----------------------------|---------------------------|
| Outputs | LEA outputs | HIDTA Annual Report B.01.IV.1 | Arrests | Annual | HIDTA |
| | | Participating LEAs | Arrests | From LEA | LEA |
| | | HIDTA Annual Report B.01.IV.2 | Drug seizures (by drug type) | Annual | HIDTA |
| | | Participating LEAs | Drug seizures (by drug type) | From LEA | LEA |
| | | HIDTA Annual Report B.01.IV.3 | Cash seizures | Annual | HIDTA |
| | | Participating LEAs | Cash seizures | From LEA | LEA |
| | Federal Drug Seizures | FDSS | Conveyance type, location, drug type and amount, state, enforcement activity | Annual | State |
| | Southwest Border Seizures | EPIC BLISS | Drug seizures (by drug type) | Ongoing | Southwest border only |
| | Change in LEA outputs | HIDTA Annual Report B.01.IV; participating LEAs | Increase or decrease in LEA outputs (arrests, and drug and cash seizures) | Annual | LEA; HIDTA |
| | Investigation and Support | HIDTA Annual Report B.01.IV.5 | Intelligence center outputs (e.g., number of deconfliction inquiries, telephone tolls, geo-mapping) | Annual | HIDTA intelligence center |
| | | HIDTA Annual Report B.01.IV.4 | Investigative activities (e.g., number of Title III initiations, pen registers, pager intercepts) | Annual | HIDTA intelligence center |
| | | HIDTA Annual Report B.01.IV.4 | Number of OCDETF cases generated | Annual | HIDTA |
| OCDETF IIF | | Number of OCDETF cases generated | Case-by-case | HIDTA | |
| HIDTA Annual Report B.01.III.B.1 | | Number of identified DTOs (local, national, international) | Annual | HIDTA | |
| Outcomes | Prosecutions and sentences | National Judicial Reporting Program (NJRP) | Conviction offenses, type and length of sentences | Biannual; Selected counties | County felony trials |
| | | State Court Processing Statistics (SCPS) | Arrest offense, type and outcome of adjudication, type and length of sentence | Biannual; Selected counties | State felony trials |
| | DTO dismantled/ disrupted | HIDTA Annual Report B.01.III.B.1 | Number of DTOs (local, national, international) | Annual | HIDTA |
| | | HIDTA Annual Report B.01.III.B.1 | % of identified DTOs dismantled/ disrupted (local, national, international) | Annual | HIDTA |

| HIDTA Measures | | | | | |
|----------------|----------------------------------|---|---|--|---|
| Impacts | Reduced Crime | HIDTA Annual Report B.01.III.C.1 | Homicide, robbery, assault, rape, burglary | Annual | HIDTA area(s) |
| | | Uniform Crime Reports (FBI) | Murder, rape, robbery, assault, burglary, larceny, car theft | Annual | State, county |
| | | National Crime Victimization Survey (NCVS) | Rapes, sexual assaults, robberies, assaults, thefts, burglaries, car theft | Annual | State |
| | | NHSDA | Drug selling, fights, crime, abandoned buildings, graffiti | Annual | State |
| | | HIDTA Annual Report, UCR, NCVS, NHSDA | Changes/trends in crime rates | Annual | State |
| | Drug Availability | HIDTA Annual Report B.02 | Estimated drug market impact of dismantled/ disrupted DTOs | Annual | DTO |
| | | Heroin Signature Program (HSP) | Production source of heroin seizures and buys; purity; price (for buys) | Ongoing | Heroin seizures/ purchases |
| | | Domestic Monitor Program | Heroin price and purity | Ongoing | Undercover purchases |
| | | System to Retrieve Information from Drug Evidence | Drug type, purity, location and price (if purchased) | Ongoing | Undercover purchases and drug seizures |
| | | Pulse Check | Drug use, drug types, availability, prices, dealer and user characteristics | Annual; Qualitative and quantitative | 20 cities |
| | | Community Epidemiology Work Group | Drug-related deaths and ER visits, treatment, arrestee urinalysis, seizures, price, purity, distribution, arrests | Annual; Qualitative and quantitative | 21 cities |
| | Drug Use | NHSDA | Age, attitudes, perceived risk and availability, drug use (lifetime, past month, past year), drug types | Annual | State (after 1999) |
| | | Monitoring the Future (MTF) | Age, drug use, exposure, availability, frequency, risk perceptions | Annual | Regional (youth population) |
| | | Youth Risk Behavior Surveillance System (YRBSS) | Drug use, type, and frequency | Annual; Some variation between sites in survey content | Selected states and cities (youth population) |
| | | Arrestee Drug Abuse Monitoring (ADAM) | Drug use (urinalysis); interviews on drug use, frequency, current offense | Quarterly and Annual | Selected counties |
| Drug Use Harm | Drug Abuse Warning Network-ER | Drug-related emergency room visits | Ongoing | 21 SHMAs | |
| | Drug Abuse Warning Network-ME | Drug-related deaths | Ongoing | 27 SHMAs | |
| | National Vital Statistics Survey | Drug-related deaths | Ongoing | State | |

Design for a HIDTA/OCDETF Performance Monitoring and Management System

| OCDETF Measures | | | | | |
|--------------------------------------|---------------------------------------|--|---|---|---------------------------|
| Domain | Measure | Source | Variables | Accessibility | Unit of Analysis |
| Outputs | Nationwide coordinated investigations | OC MIS (coming) | Number and percentage of nationwide coordinated investigations | Ongoing | OCDETF Region |
| | Implemented Regional Strategy | Investigation Initiation Form (I), Regional Strategy | Number and percentage of regional priority target investigations | Upon initiation | OCDETF region |
| | | Investigation Initiation Form (I) | Number and percentage of Special Operations Division (SOD)-coordinated investigations | Upon initiation | OCDETF region |
| | | Investigation Initiation Form (V) | Number and percentage of primary money laundering investigations | Upon initiation | OCDETF region |
| | | Investigation Initiation Form (VIII.B), Regional Strategy | Investigative techniques planned; number and percent of planned investigative activities for case listed in regional strategy | Upon initiation | OCDETF region |
| | | Investigation Initiation Form (I), CPOT | Number and percentage of coordinated investigations against CPOT linked targets | Upon initiation | OCDETF region |
| | LEA Outputs | Closing Report | Amount and type of drugs seized | Upon case completion | OCDETF task force |
| | | Closing Report | Amount of currency seized | Upon case completion | OCDETF task force |
| | | Closing Report | Number of spinoff investigations and related OCDETF case number | Upon case completion | OCDETF task force |
| | | Federal Drug Seizure System | Federal drug seizures | Annual; state | OCDETF task force |
| | Prosecutor Outputs | Investigation Initiation Form (VII.A.3) | Names of principal targets and their roles | Upon case initiation; Qualitative | OCDETF task force |
| | | Indictment and Investigation Form (B) | Defendants charged and their roles | Upon indictment | OCDETF task force |
| | | Investigation Initiation Form, Indictment and Investigation Form (A) | Ratio of charges for leadership roles to principal targets identified | Upon indictment | OCDETF task force |
| | | Indictment and Investigation Form (A); CPOT | Number and percentage of indictments for CPOT related targets | Upon indictment | OCDETF task force |
| | | Indictment and Investigation Form | Number and percentage of individual regional target defendants | Upon Indictment | OCDETF Task force/ Region |
| | | Indictment and Investigation Form (B, III) | Number and percentage of leadership-level defendants | Upon indictment | OCDETF task force |
| | | Disposition and Sentencing Report | Number and percentage of sentences of 10 years or more | Upon case completion | OCDETF task force |
| | | Indictment and Investigation Form (B, IV) | Number and percentage of indictments including money laundering and/or asset forfeiture charges | Upon indictment | OCDETF task force |
| | | Closing Report | Amount and percentage of assets deposited in Asset Forfeiture Fund | Upon case completion | OCDETF task force |
| | Outcomes | Executed Regional Strategy | Closing Report and Regional Strategy | Number of disrupted regional priority targets | Upon case completion |
| Closing Report and Regional Strategy | | | Number of dismantled regional priority targets | Upon case completion | OCDETF region |
| Closing Report and CPOT | | | Number of disrupted national priority targets | Upon case completion | OCDETF region |
| Closing Report and CPOT | | | Number of dismantled national priority targets | Upon case completion | OCDETF region |

| OCDETF Measures | | | | | | |
|---------------------------------------|--|--|--|---|--|-------------------|
| Domain | Measure | Source | Variables | Accessibility | Unit of Analysis | |
| Outcomes <i>(continued)</i> | Executed Regional Strategy <i>(continued)</i> | Previous Regional Strategy and Current Regional Strategy | Change in DTOs listed as regional priority targets | Annual | OCDETF region | |
| | Court Actions | Disposition and Sentencing Report | Guilty verdicts | Upon case completion | OCDETF task force | |
| | | Disposition and Sentencing Report | Number and percentage of convicted CPOT target-related defendants | Upon case completion | OCDETF task force/ Region | |
| | | Disposition and Sentencing Report | Number and percentage of convicted regional priority target-related defendants | Upon case completion | OCDETF task force/ Region | |
| | | Disposition and Sentencing Report | Number and percentage of convictions including money laundering and asset forfeiture charges | Upon case completion | OCDETF task force/ Region | |
| | | Closing Report | Amount and percentage of nonpersonal assets seized | Upon case completion | OCDETF task force | |
| | | Disposition and Sentencing Report | Sentences | Upon case completion | OCDETF task force | |
| | | Disposition and Sentencing Report | Total individual fines | Upon case completion | OCDETF task force | |
| | | Disposition and Sentencing Report | Total aggregated fines for case | Upon case completion | OCDETF task force | |
| | Disrupted/ Dismantled DTO | Disposition and Sentencing Report | Number and percentage of defendants convicted at leadership level | Upon case completion | OCDETF task force | |
| | | Disposition and Sentencing Report | Number and percentage of sentences of 10 years or longer | Upon case completion | OCDETF task force | |
| | | Closing Report | DTO dismantled, disrupted, or neither | Upon case completion | OCDETF task force | |
| | | Closing Report | Ratio of amount of drugs seized to estimated quantity of drugs distributed | Upon case completion | OCDETF task force | |
| | | Closing Report | Ratio of amount of currency seized to estimated currency laundered | Upon case completion | OCDETF task force | |
| | | Closing Report | Financial assets forfeited | Upon case completion | OCDETF task force | |
| | | Closing Report | Amount and percentage of assets seized | Upon case completion | OCDETF task force | |
| | Impacts | Reduced Drug Availability | Investigation Initiation Form | DTO drug type (identify type of drug impact) | Upon case initiation | OCDETF task force |
| | | | Investigation Initiation Form | DTO geographic scope (identify area of impact) | Upon case initiation | OCDETF task force |
| | | | Investigation Initiation Form (VII.A.e) | Type and quantity of drug (estimate drug supply impact) | Upon case initiation | OCDETF task force |
| | | | Indictment and Information Form (A.III) | Drugs charged (identify type of drug impact) | Upon indictment | OCDETF task force |
| Closing Report | | | Quantity of drugs moved (by drug type) | Upon case completion | OCDETF task force | |
| Drug Availability | | Domestic Monitor Program | Heroin price and purity | Ongoing | Undercover purchases | |
| | | Heroin Signature Program (HSP) | Production source of heroin seizures and buys; purity; price (for buys) | Ongoing | Heroin seizures/ purchases | |
| | | System to Retrieve Information from Drug Evidence | Drug type, purity, location, and price (if purchased) | Ongoing | Undercover purchases and drug seizures | |

Design for a HIDTA/OCDETF Performance Monitoring and Management System

| OCDETF Measures | | | | | |
|--------------------------------------|--|--|---|---|-----------------------------|
| Domain | Measure | Source | Variables | Accessibility | Unit of Analysis |
| Impacts <i>(continued)</i> | Drug Availability <i>(continued)</i> | Pulse Check | Drug use, drug types, availability, prices, dealer, and user characteristics | Annual; Qualitative and quantitative | 20 cities |
| | | Community Epidemiology Work Group | Drug-related deaths and ER visits, treatment, arrestee urinalysis, seizures, price, purity, distribution, arrests | Annual; Qualitative and quantitative | 21 cities |
| | Drug Use | NHSDA | Age, attitudes, perceived risk and availability, drug use (lifetime, past month, past year), drug types | Annual | State (after 1999) |
| | | Monitoring the Future (MTF) | Age, drug use, exposure, availability, frequency, risk perceptions | Annual | Regional (youth population) |
| | | Arrestee Drug Abuse Monitoring (ADAM) | Drug use (urinalysis); interviews on drug use, frequency, current offense | Quarterly and Annual | Selected counties |
| | Drug Use Harm | Drug Abuse Warning Network-ER | Drug-related emergency room visits | Ongoing | 21 SHMAs |
| | | Drug Abuse Warning Network-ME | Drug-related deaths | Ongoing | 27 SHMAs |
| | | National Vital Statistics Survey | Drug-related deaths | Ongoing | State |
| | Reduced Crime | Investigation Initiation Form (VI) | Related criminal activities of DTO | Upon case initiation | OCDETF task force |
| | | Investigation Initiation Form (VI.A.d) | Illegal activities involved | Upon case initiation | OCDETF task force |
| | | Indictment and Information Form (A) | Related criminal activities charged | Upon indictment | OCDETF task force |
| | | Closing Report | Expected community impact of investigation and prosecution | Upon case completion | Community |
| | | Closing Report | Criminal activities | Upon case completion | OCDETF task force |
| | | Uniform Crime Reports (FBI) | Murder, rape, robbery, assault, burglary, larceny, car theft | Annual | State, county |
| | National Crime Victimization Survey (NCVS) | Rapes, sexual assaults, robberies, assaults, thefts, burglaries, car theft | Annual | State | |

Note: The above table contains only existing national data sources. In implementing the performance monitoring and management system, additional or supplemental measures may need to be developed to measure results at the area or local level.

Exhibit 4-2. Identification of Data Sources to Document Antecedents, Resources, Partners, Activities, and Mediating Variables

| HIDTA Measures | | | | | |
|--|-------------------------------------|--|--|--------------------------------------|-----------------------------------|
| Measure | Source | Variables | Accessibility | Unit of Analysis | |
| Antecedents | De Facto Drug Threats | Intelligence Reports | Geographic: major POEs by land, sea and air, transshipment points, smuggling routes, areas of marijuana cultivation and methamphetamine production | Ongoing | Areas with geographic threats |
| | Measured Threats: Drug Availability | Pulse Check | Trends in drug trafficking methods, availability, and use | Annual; qualitative and quantitative | 20 cities |
| | | Community Epidemiology Work Group (CEWG) | Trends in drug trafficking methods, availability, and use | Annual; qualitative and quantitative | 21 cities |
| Antecedents <i>(continued)</i> | Measured Threats: Drug Use | NHSDA | Age, attitudes, perceived risk and availability, drug use (lifetime, past month, past year). | Annual | State (after 1999) |
| | Measured Threats: Drug-related harm | Arrestee Drug Abuse Monitoring (ADAM) | Drug use (urinalysis); interviews on drug use, frequency and current offense | Quarterly and Annual | Selected counties |
| | | Drug Abuse Warning Network (DAWN-ER) | Drug-related emergency room visits | Ongoing | 21 SHMAs |
| | | Drug Abuse Warning Network (DAWN-ME) | Drug-related deaths | Ongoing | 27 SHMAs |
| | | National Vital Statistics Survey | Drug-related deaths | Ongoing | State |
| | DTO-related violence | Uniform Crime Report (FBI) | Rates of homicide, robbery, assault, rape, and burglary | Annual | State, county |
| | | National Crime Victimization Survey (NCVS) | Rates of rape, sexual assault, robbery, assault, theft, burglary, larceny, and car theft | Annual | State |
| Resources | Funding Amount | HIDTA Annual Report B.01.1.C | Funding for HIDTA | Annual | HIDTA |
| | Initiative Budget | HIDTA Annual Report B.04.III | Funding for each initiative | Annual | Initiative |
| | State/Local LEA Support for HIDTA | Budgets for participating LEAs | LEA funding contribution to HIDTA | Annual | Participating state and local LEA |
| | Cooperation with Federal Agencies | ONDCP Budget Office | Memoranda of understanding | Annual | Federal LEA |
| | State/Local funding receipts | HIDTA Budget Office | Grants to participating LEAs/fiduciaries | Annual | LEA |
| Partners | Participating Agencies | HIDTA Annual Report B.01.1.F | Number of law enforcement agents (FT/PT) | Annual | HIDTA |
| | | HIDTA Annual Report B.04.III | Number of law enforcement agents (FT/PT) and agency contributions | Annual | Initiative |
| | Structure | HIDTA Annual Report B.03.III.A & B | HIDTA leadership and responsibilities | Annual | HIDTA |
| | Organization Chart | HIDTA Annual Report B.03.IV | Personnel and reporting relationships | Annual | HIDTA |

Design for a HIDTA/OCDETF Performance Monitoring and Management System

| HIDTA Measures | | | | | |
|---|-----------------------------------|---|--|-------------------------|---------------------------|
| | Measure | Source | Variables | Accessibility | Unit of Analysis |
| Program Activities | Initiative Design | HIDTA Annual Report B.03.III.C-1 | Subsystem design | Annual; qualitative | HIDTA |
| | | HIDTA Annual Report B.04.II | Initiative description | Annual; qualitative | HIDTA |
| | HIDTA Development | HIDTA Annual Report B.01.III.A.c. | Developmental standards: strategic planning | Annual | HIDTA |
| | | HIDTA Annual Report B.01.III.A.d. | Developmental standards: accountability | Annual | HIDTA |
| | Intelligence Center | HIDTA Annual Report B.01.III.A.a | Developmental standards | Annual | HIDTA |
| | | HIDTA Annual Report B.01.IV.4 | Number of cases with Intelligence analysts assigned | Annual | HIDTA intelligence center |
| | Coordination | HIDTA Annual Report B.01.III.A.b | Developmental standards: teamwork | Annual | HIDTA |
| | | HIDTA Annual Report B.01.IV.2 | Unity of effort | Annual; qualitative | HIDTA |
| | | HIDTA Annual Report B.04.III | Proportion of collocated and non-collocated task force members | Annual | Initiative |
| | Mediating Variables | HIDTA Development | HIDTA Annual Report B.01.III.3 | Developmental standards | Annual |
| Agency Resource Allocation | | Participating LEAs | Budget | Annual | Participating LEA |
| Prosecutor Involvement | | HIDTA Annual Report B.03.III.C.d, B.04.II | Full-time and part-time prosecutor involvement | Annual | Initiative |
| Treatment and Prevention | | HIDTA Annual Report B.03.C.e B.04. II | Funding sources, programs, agencies, causal linkages to drug use, involved task forces | Annual | Initiative |
| | | ONDCP | Non-HIDTA treatment and prevention programs | Annual | HIDTA |
| | | SAMHSA | Prevention and treatment programs, and funding amounts | City/state | HIDTA |
| | | DASIS/I-SATS, formerly National Master Facility Inventory | Number of public and private treatment programs | Address, city, state | HIDTA |
| DASIS/N-SSATS, formerly Uniform Facility Data Set | Utilization of treatment programs | Address, city, state | HIDTA | | |

| OCDETF Measures | | | | | |
|------------------------|------------------------------|---------------------------------|--|----------------------|-------------------------|
| Domain | Measure | Source | Variables | Accessibility | Unit of Analysis |
| Antecedents | Existing Caseload | Indictment and Initiation Forms | Current cases open (initiated, but not closed); manpower assigned to open cases | Continuous | OCDETF region |
| | Changing National Priorities | Participating Federal Agencies | Number of agents reassigned from drug investigations to others (e.g., terrorism) | Continuous | LEA involvement |
| Resources | Funding | Department of Justice | Memoranda of understanding | Annual | OCDETF task force |
| | Mission | OCDETF program goals | OCDETF program goals | Annual | OCDETF program |

| OCDETF Measures | | | | | |
|--|------------------------------|--|--|-----------------------------------|-------------------|
| Domain | Measure | Source | Variables | Accessibility | Unit of Analysis |
| Resources <i>(continued)</i> | Regional Priority Targets | OCDETF regional strategy | List of regional priority targets | Annual | OCDETF Region |
| | C POT | National Priority Target List | List of national priority targets | Annual | OCDETF program |
| Partners | Agency Involvement | Investigation Initiation Form: III | Participating agencies, number of agents | Upon initiation | OCDETF task force |
| Activities | LEA Collaboration | Indictment and Investigation Form (A) | Agency involvement | Upon indictment | OCDETF task force |
| | | Investigation Initiation Form and Indictment and Investigation Form (A) | Change in agency involvement (from initiation to indictment) | Upon indictment | OCDETF task force |
| | LEA Investigation | Investigation Initiation Form (VIII.B) | Expected investigative techniques | Upon Initiation | OCDETF task force |
| | | Indictment and Investigation Form (A) | Investigative tools used | Upon indictment | OCDETF task force |
| | | Closing Report | Investigative tools used | Upon case completion | OCDETF task force |
| | | Investigation Initiation Form, Indictment and Investigation Form (A), Closing Report | Change in investigative techniques from "expected" to "used" | Upon indictment | OCDETF task force |
| | | Closing Report | Innovative investigative or prosecutorial techniques used | Upon case completion | OCDETF task force |
| | DTO Identification | Investigation Initiation Form (V) | DTO type | Upon initiation | OCDETF task force |
| | | Indictment and Investigation Form (A) | DTO type | Upon indictment | OCDETF task force |
| | | Closing Report | DTO type | Upon case completion | OCDETF task force |
| | | Investigation Initiation Form, Indictment and Investigation Form (A), Closing Report | Change in identifiable type of DTO | Upon case completion | OCDETF task force |
| | | Investigation Initiation Form | Drugs suspected | Upon initiation | OCDETF task force |
| | | Indictment and Investigation Form (A) | Drugs charged | Upon indictment | OCDETF task force |
| | | Investigation Initiation Form, Indictment and Investigation Form (A) | Changes in identifiable drug types | Upon indictment | OCDETF task force |
| | | Investigation Initiation Form, Indictment and Investigation Form (A) | Changes in related criminal activities | Upon indictment | OCDETF task force |
| | | Closing Report | DTO description | Upon case completion; Qualitative | OCDETF task force |
| Closing Report | | DTO communication methods | Upon case completion; Qualitative | OCDETF task force | |
| Closing Report | DTO countermeasures to LEA | Upon case completion; Qualitative | OCDETF task force | | |
| Closing Report | Amount of currency laundered | Upon case completion; Qualitative | OCDETF task force | | |

Design for a HIDTA/OCDETF Performance Monitoring and Management System

| OCDETF Measures | | | | | |
|------------------------|-------------------------------------|---|--|----------------------|-------------------------|
| Domain | Measure | Source | Variables | Accessibility | Unit of Analysis |
| Moderators | Relationship with HIDTA, HIFCA, SOD | Investigation Initiation Form | HIDTA, HIFCA involvement (y/n), SOD coordination (y/n) | Upon initiation | OCDETF task force |
| | | Investigation Initiation Form | Percentage of cases generated by HIDTA or HIFCA, or coordinated by SOD | Upon initiation | OCDETF region |
| | Length of Investigation | Investigation Initiation Form (VII.A.1) | Anticipated length of investigation | Upon initiation | OCDETF task force |
| | | Investigation Initiation Form (IX) Indictment or Information Form (A.I) | Actual latency between initiation and indictment | Upon indictment | OCDETF task force |
| | | Investigation Initiation Form (IX), Disposition and Sentencing Report Date | Actual latency between initiation and case disposition | Upon case completion | OCDETF task force |
| | Length of Prosecution | Indictment and Information Form (A.I), Disposition and Sentencing Report Date | Actual latency between indictment and case disposition | Upon case completion | OCDETF task force |
| | Average Length of Investigations | Investigation Initiation Form (IX) Indictment or Information Form (A.I) | Average latency between initiation and indictment | Upon indictment | OCDETF region |
| | Average Length of Prosecutions | Investigation Initiation Form (IX), Disposition and Sentencing Report Date | Average latency between initiation and disposition | Upon case completion | OCDETF region |
| | Average Length of Case | Indictment and Information Form (A.I), Disposition and Sentencing Report Date | Average latency between indictment and case disposition | Upon case completion | OCDETF region |

5. ISSUES IN IMPLEMENTING THE PERFORMANCE MONITORING AND MANAGEMENT SYSTEM

This chapter reviews existing reporting systems that can be used to support the High Intensity Drug Trafficking Area (HIDTA) and the Organized Crime Drug Enforcement Task Force (OCDETF) performance monitoring and management system, proposes roles for key stakeholders participating in the system, and recommends processes for compiling new measures and reviewing monitoring information. Two fundamental principles guide the implementation of the performance monitoring and management system: (1) to make it a useful management tool for HIDTA and OCDETF program managers at each level of the organization; and (2) to balance reporting requirements from the field with appropriate feedback from headquarters.

5.1 REVIEW OF EXISTING REPORTING SYSTEMS

The process of the performance monitoring and management system will be enhanced if the relevant data collection and periodic assessment are built seamlessly into existing operational procedures and organizational routines. It is for this reason that CSR recommends that the system foundation be built with existing reporting systems. The discussion of measures and indicators, presented in Chapter 4, demonstrates that the HIDTA and OCDETF programs share common data elements and incorporate other elements unique to each system. As the previous chapter also shows, several reporting systems external to the HIDTA and OCDETF programs may provide useful data.

5.1.1 HIDTA

The Office of National Drug Control Policy (ONDCP) produces a combined Annual Performance Plan/Report and submits it through the Office of Management and Budget (OMB) to Congress as part of the ONDCP budget request justification. The Annual Performance Plan/Report draws upon four annual reports from the HIDTAs:

- Annual Report, due April 15;
- Threat Assessment, due May 15;
- Strategy, due June 15; and
- Initiatives/Budget, also due June 15.

Completion of these reports is the responsibility of the Executive Board of each HIDTA.

The Annual Report contains information on major drug trafficking organizations (DTOs) that were targeted in the previous 12 months and reports program outputs,

outcomes, and impacts. The primary outputs of the HIDTA program include increased coordination between law enforcement agencies (LEAs) and access to intelligence. Outcomes include major drug organizations disrupted or dismantled and changes in trends and methods of operation of DTOs. Impacts include reduction in drug-related crimes, reduction in violent crimes, reduced drug sales and use, and an estimate of the HIDTA's long-term impact on the region. The Annual Report also requires each funded HIDTA to measure and submit its performance toward achieving specific Government Performance and Results Act (GPRA) performance targets in accordance with ONDCP's Performance Plan.

The other three reports provide information on program inputs and processes. The Threat Assessment describes the illicit drug-related activities that affect the HIDTA region. In addition to identifying the targeted drug organizations, it may describe antecedent variables that should be measured. The Strategy is the HIDTA's plan to reduce the identified drug threat in the region. It includes a number of resource and process factors centered on coordination of efforts and sharing of intelligence and information. The Strategy includes five subsystems: Intelligence, which includes the intelligence center; Investigation, which includes collocated/commingled multi-agency task forces; Support, including management and coordination; Interdiction (in some regions); and Prosecution (in some HIDTAs). The Initiatives/Budget submission documents both resources and outcomes. Initiatives planned for the upcoming year are submitted with projected funding requirements. Each initiative approved for funding must be accounted for in the following year's Initiatives/Budget submission, including outcomes and accounting for funds.

The performance monitoring and management system developed for the HIDTA program should incorporate an emphasis on the systematic review of the four HIDTA reports prepared by each program annually. The reports should be reviewed separately from the annual program and budget review process to ensure that there is a common thread that links the reports in some meaningful way to support the next year's operating plan. This review should focus on the commitment of the HIDTA to incorporating performance measurement in its planned activities and internal measurement system.

The annual plan, supported by the revised threat assessment and accompanying budget, should be reviewed to ensure that it provides a clear picture of intended performance. These reports should be reviewed to ensure that they include (1) sets of performance goals and measures that address planned program results; (2) baseline and trend data for past performance; (3) budgetary resources related to the achievement of the planned program activities; (4) planned strategies and initiatives that are linked to specific performance goals and descriptions and explain how the strategies and program activities will contribute to the achievement of those goals; (5) a brief description or reference to a separate document on how the program plans to build, maintain, and marshal the resources needed to achieve results; (6) strategies to leverage or mitigate the effects of external factors on the accomplishment of the performance goals; (7) identification of complementary performance goals and measures that are used by

other agencies participating in the HIDTA task force initiatives; and (8) performance partnerships to achieve impact.

5.1.2 OCDETF

Much of the data for the OCDETF performance monitoring and management system will come from four forms that are submitted on each OCDETF case:

- Investigation Initiation Form (IIF);
- Indictment and Information Forms (Part A, Case; Part B, Defendant);
- Disposition and Sentencing Report; and
- OCDETF Closing Report.

The forms are submitted from the field for entry in the OCDETF Management Information System (MIS).

As the names suggest, the forms are submitted at different points as the case progresses. The data they provide are important for measuring program activities, outputs, outcomes, and impacts. The Investigation Initiation Form is prospective; it contains information on the targeted organization, prospective defendants, drugs involved, the type of organization, its related criminal activities, and prospective seizures and forfeitures. It also indicates the agencies that will be involved in the investigation and the resources required. The Indictment and Information Forms provide output data. Part A, Case, provides information on the actual drugs charged, the type of organization, and its related criminal activities. It also lists actual agency involvement, including the number of personnel from each agency, and the investigative tools that were used. Part B identifies the defendant, his role in the criminal organization, and the offenses with which he is charged. The Disposition and Sentencing Report provides data on the outcome of the trial, including original charges and dispositions, lesser charges and dispositions, and the sentence. The new OCDETF Closing Report captures additional outcome data and some impact data. It indicates whether the target organization was dismantled or disrupted, the estimated quantity of drugs the organization was moving and the amount seized, the estimated quantity of weapons moved and the amount seized, the estimate of currency laundered and the amount seized, and the type and value of financial assets forfeited. It also contains information on convictions, agencies involved, and scope of the case.

In addition to the reporting forms submitted by field offices, resource data is available from the Interagency Crime and Drug Enforcement Budget Estimates submitted to Congress by the OCDETF Executive Office.

5.1.3 Other Reports

Several other reports provide a variety of information that may be of use in measuring different aspects of the HIDTA and OCDETF programs:

- **National Household Survey on Drug Abuse (NHSDA)** is conducted annually by the Substance Abuse and Mental Health Services Administration (SAMHSA) and captures data at the state level on availability of drugs, drug types, drug use, and other factors. With state-based sampling, the report provides substance use prevalence estimates for every state and detailed analyses of national patterns of use.
- **Youth Risk Behavior Surveillance System (YRBSS)** monitors six categories of health-risk behaviors among youth and young adults, including alcohol and other drug use (drug use, type, and frequency). Published annually, it includes a national school-based survey conducted by the Centers for Disease Control and Prevention (CDC) and state, territorial, and local school-based surveys conducted by education and health agencies.
- **Federal-wide Drug Seizure System (FDSS)** reflects the combined drug seizure efforts of the Drug Enforcement Administration (DEA), the Federal Bureau of Investigation (FBI), the U.S. Customs Service, and the U.S. Border Patrol within the jurisdiction of the United States, as well as maritime seizures by the U.S. Coast Guard. The FDSS compiles data by fiscal year and eliminates duplicate reporting of a seizure involving more than one Federal agency.
- **Drug and Alcohol Services Information System: Treatment Episode Data System (DASIS/TEDS)** is a compilation of data on the demographic and substance abuse characteristics of admissions to substance abuse treatment. It is published annually by SAMHSA, using data at the state level.
- **Drug Abuse Warning Network (DAWN–ER)** reports data compiled by SAMHSA on drug-related emergency room (ER) episodes. Includes semiannual estimates for the coterminous United States and for 21 major metropolitan areas on trends in major substances of abuse and other substances of abuse by drug category and drug name.
- **Drug Abuse Warning Network (DAWN–ME)** reports semiannual data on drug related deaths for 27 major metropolitan areas.
- **Uniform Crime Reports (UCR)** are tabulated monthly and compiled annually by the FBI, based on nationwide reporting from city, county, and state LEAs. UCRs include data on arrests for violent, property, and drug-related crime.
- **Arrestee Drug Abuse Monitoring (ADAM)** is a program funded by the National Institute of Justice that tracks trends in the prevalence and types of drug use among booked arrestees in 35 urban areas. Data are tabulated quarterly and reported annually.
- **Pulse Check** is published semiannually by ONDCP and is intended to “describe hardcore drug-abusing populations, emerging drugs, new routes of

administration, varying use patterns, changing demand for treatment, drug-related criminal activity, and shifts in supply and distribution patterns.” Findings are based on reports from ethnographers/epidemiologists, law enforcement officials, and treatment providers in 20 cities.

- **Community Epidemiology Work Group (CEWG)** reports are published semiannually by the National Institute on Drug Abuse (NIDA). They draw upon DAWN–ED and DAWN–ME reports, data from ADAM, and seizure, price, purity, prescription/distribution, and arrest data obtained from DEA, and provide community-level surveillance of drug abuse, emerging trends, and consequences of abuse. Both qualitative and quantitative data are reported by researchers in 21 cities.

The utility of any of these reports to measuring the performance of the HIDTA or OCDETF programs will almost certainly be in terms of impact as well as antecedent and mediating variables. Four other criteria should also be considered: (1) the precision of the index (How well does it reflect the gravity of the drug problem?); (2) the consistent availability of the data (Can they reasonably be expected to be continuously collected over time?); (3) the degree of comparability across sites (Are the same types of data collected in a similar fashion across sites?); and (4) the extent to which the data are readily available at the desired level. All of these reports meet the first three criteria; the fourth criterion needs closer attention if these data sources are to be used to support performance monitoring for the HIDTA and OCDETF programs.

The FDSS aggregates data at the national level and, thus, is appropriate for both programs at that level. The NHSDA, the YRBSS, and DASIS/TEDS are all national in scope, but they also report data at the state level. Data from those reports are appropriate for HIDTA at the national level and for OCDETF at both the national and regional levels. The two DAWN reports *project* data to the national level, but are based on reports from a limited number of sites. The ADAM, Pulse Check, and CEWG reports are each limited to their respective sites. Site-specific data should not be dismissed. The Pulse Check and CEWG reports provide a valuable lesson on how site-specific data can be used. That is, they draw upon multiple sources to present a comprehensive picture of the drug situation in the site. Several ADAM, Pulse Check, and CEWG sites are within HIDTAs (and, of course, OCDETF regions). Taken together, data from those reports can be triangulated to provide valuable contextual data.

Of all the reports mentioned here, the UCR breaks out data not only at the national and state levels but also at the county level. To the extent that HIDTAs are made up of counties, sometimes not contiguous and sometimes spreading across state lines, that county-level data can be aggregated by county to measure HIDTA crime rates. Another county-level data set that is not commonly thought of in terms of measuring anti-drug efforts is the Multiple Cause of Death data, part of the National Vital Statistics Survey, published annually by the National Center for Health Statistics (NCHS). Data on drug-related deaths can be tabulated

at the county, state, HIDTA, and national level to provide an indicator of the prevalence of drug problems in a given jurisdiction.

In the next stage of developing and refining HIDTA and OCDETF performance measures, these reporting systems need to be examined closely to assess their utility to the system. During this review process, it is important to recognize that not all performance measures are created equal. In developing the performance monitoring and management system for both programs, the system should focus on the most important, available measures of performance. These “primary” performance measures should consider the following step-wise approach in order to ensure that the development of the performance monitoring and management system is accomplished in an iterative and responsible manner (Friedman, Mark, 1997, p. 12):

1. The system measures quality of outputs;
2. The system measures quality of outcomes;
3. The system measures quantity of outputs; and
4. The system measures quantity of outcomes.

This approach will enable the HIDTA and OCDETF program managers to prioritize program objectives. This approach supports a disciplined focus on a small number of the most important measures.

5.2 DISCUSSION OF APPROPRIATENESS/AVAILABILITY OF DATA

Although the HIDTA reports and the OCDETF reports contain a wealth of data, not all of that data may be appropriate for performance measurement. Conversely, data may not be available for some measures. This section presents several issues to be considered in implementing the performance monitoring and management system.

5.2.1 Multiple Measures for Multiple Users

As noted above, the HIDTA program and the OCDETF program have many characteristics in common, but are sufficiently different in that they require different performance measures. Fair and accurate reporting demands a system that is tailored to each program. There is no “one-size-fits-all” or “cookie-cutter” approach to development of a performance monitoring and management system. Furthermore, no system can be all things to all users. Data that are valuable to the local program manager may not be useful at the Washington headquarters level, and data that may seem insignificant at the local level may, when aggregated with data from all local programs, be important at the national level. In the development of the system, users at each level should be given the opportunity to specify their own data needs.

5.2.2 Comparative Measures

Other than prescribed program components, standards of performance have not been established for HIDTA or OCDETF programs. Indeed, given the variation in HIDTAs and in OCDETF regions, good arguments can be made against standardization. On the other hand, some basis of measurement is desirable. Both programs plan to use FY 2002 data as baselines for their performance monitoring and management system. Thus, baseline data should become available in the initial stages of implementation of the performance monitoring and management system, and data from subsequent years can be compared to data from 2002. Other comparisons can be made, including current to previous period and, over time, trends. The HIDTA program has established targets expressed as percentages, and the OCDETF program has targeted specific DTOs for dismantling or disruption. Comparisons of actual accomplishments to targets can be made. Also, especially for resource allocation, comparisons can be made across HIDTAs and across OCDETF regions.

5.2.3 Automated Systems

Full and effective use of a performance monitoring and management system requires that it be automated. The OCDETF MIS has been converted to be compatible with Windows-based programs and software and is currently being upgraded to allow Web-based interface with U.S. Attorneys offices and to provide a report distribution system. The OCDETF MIS appears to be capable of providing much of the data needed for the performance monitoring and management system.

To the extent any of the HIDTA reports are automated, that should be used as a starting point for automating all HIDTA reports. The objective is not to create a new automated system but to take advantage of systems that exist. Components should be phased in according to priorities established by ONDCP, based on urgency of need, cost, and ease of automation.

The simplest, most cost-effective first step toward collecting performance data for the HIDTA program would appear to be automating the Annual Report as a Microsoft Access document that could be sent out and returned electronically. In Access, the form could include text boxes with a capacity of 250 words for narrative parts of the report. Development of an Access database in Washington would make it possible to copy data from field reports electronically and to compile data by HIDTA to tabulate national-level data. A further refinement would be to develop a Web-based system, which would allow online data entry.

Both programs should take advantage of other automated systems that provide data external to the programs but that can provide relevant measures, especially where impacts are concerned.

5.3 KEY STAKEHOLDERS IN THE PROCESS OF IMPLEMENTING THE SYSTEM

Implementation of the performance monitoring and management system should include program staff in Washington and in the field who will be involved in operation of the system (i.e., system users at all levels). For the HIDTA program, this includes representatives from the ONDCP HIDTA Program Office, HIDTA Executive Boards, and HIDTA Directors.

Representation of program staff for the OCDETF program is somewhat more complex because of the number of agencies involved and the layers in the program. In Washington, the OCDETF Executive Office must be involved, including staff responsible for the MIS. The Washington Agency Representative Group (WARG) should also be involved because the Program Guidelines specifically charge the WARG with disseminating performance measures and monitoring achievement. At the regional level, representation should come from Advisory Councils, which are responsible for the Annual Strategic Plan for their Regions, and from Regional Coordination Groups, which are responsible for submitting all reports on OCDETF cases. In addition to representatives from U.S. Attorneys offices, representatives should include Special Agents in Charge from the various agencies involved in typical OCDETF cases.

Because of their methodological expertise and practical experience, a group including researchers and practitioners should be convened periodically during the implementation stage. This group of experts can help maintain the proper balance required to protect the necessary rigor of the performance measurement system and to ensure the system reflects the reality of day-to-day law enforcement systems.

Washington headquarters staff for the two programs (HIDTA and OCDETF), field staff for both programs, and an expert panel should be involved in three stages of implementation of the performance measurement system: conceptualization, pilot test, and operationalization.

The conceptualization stage to date has involved headquarters staff who have shared their vision of what the performance measurement system should be and provided program documentation to describe the programs. Similarly, through telephone discussions, field staff have shared their vision of what the system should be and how it should be developed. Representative field staff, headquarters staff, and respected scholars in the performance measurement field, have reviewed the draft logic models and performance measures. The remaining critical component in the conceptualization stage is for similar stakeholders to reach agreement on the definition of terms, particularly with regard to the distinctions between outputs, outcomes, and impacts. Conclusions must be drawn about the accurate depiction of each program, as it is characterized by its logic model. Finally, decisions must be made on which performance measures to use; how they fit into the logic model; whether they can be expected to measure what

they are intended to measure; and whether the data can be collected in a reasonable time at a reasonable cost.

The different groups will have different roles in the pilot test. Field staff will have primary responsibility for data collection. Field staff for the two programs will have insights to performance that are based on direct experience. Their knowledge and experiences offer an important basis for learning, adaptation, and improvement of the program, particularly at the task force and regional level. The pilot test will measure the time and resources required for field staff to participate in data collection and the degree of difficulty in obtaining data and applying it to a particular HIDTA or OCDETF program.

Headquarters staff will have primary responsibility for analyzing the data and generating reports that will be appropriate to several different audiences. In preparation for the pilot test, headquarters staff will have to determine what information should be reported to whom and in what level of detail, because the intended reports will drive the compilation, aggregation, and analysis of the data. Preparation will also include identifying analytical tools and skills that will be required to process both quantitative and qualitative data, and ensuring that those tools and skills, including computer programs and qualified staff, are in place. The pilot test will determine how long it takes to process the data and at what cost, and will determine the quality of the data that is produced by the analysis.

The pilot test will also provide an opportunity to test report contents and formats. Reports at the headquarters level must be designed for both internal (e.g., ONDCP, OCDETF Executive Committee, Operations Chiefs Group, and WARG) and external consumption (e.g., OMB, House and Senate Appropriations Committees). Equally important are the reports to be sent back to the field offices. These reports should, on the one hand, be quality assurance reports that identify strengths and weaknesses of the data reported, and on the other hand, provide information to field offices that will help them improve program performance.

The role of an expert group in the pilot test will be to review results, particularly from a methodological perspective. These experts will be concerned with the validity of the data and their reliability across HIDTAs and OCDETF regions with regard to resources, program activities, outputs, and outcomes. The panel will be especially concerned with the applicability of impact data on a national and regional scale. They will also be concerned with the appropriateness of data analysis, including the combination of qualitative and quantitative data, and with the effectiveness of the reports that are generated for particular audiences.

As great an undertaking as the pilot test will be, the three groups should continue to play a role in the operationalization of the performance system. Headquarters and field staffs must be involved in making the system operational and need to monitor the accuracy and effectiveness of the system. Both the HIDTA and the OCDETF programs intend to use data from 2002 as a baseline for measurement. All three groups should be involved in a review of that data to assess validity and reliability, to identify weaknesses and gaps in the data, and to recommend

corrective action. After the pilot test, the three groups should be involved in annual reviews of the performance measurement system, for two reasons. First, they are in a position to identify and adjust realistic benchmarks of performance. For example, how many convictions, with what duration of sentences, through how many layers of a DTO, are necessary to dismantle that organization? What is an accurate measure of neighborhood safety, based on how many variables? The second reason for continuing their review role is to call on them for recommendations on how to adjust the system. If certain measures prove not to be appropriate, others should be identified. If program emphases change, perhaps the logic model will need to be changed, and almost certainly the performance measures will have to be adjusted. Input from headquarters and field staffs and review by outside experts are necessary to identify these events and provide a sound grounding for making changes.

5.4 RECOMMEND PROCESSES FOR COMPILING QUALITATIVE INFORMATION

The most obvious level of the system for compilation of measures is at headquarters in Washington: the paradigm is that field offices send their reports to headquarters and headquarters compiles and aggregates the data to create a system-wide report. Especially for some qualitative measures, however, compilation will also be required at the field level. Here again, the Pulse Check and CEWG reports provide a model for data collection and compilation.

The basic principle of compiling the Pulse Check and CEWG reports is that experts from different fields (ethnographers, epidemiologists, law enforcement officials, public health officials, treatment professionals, and others) gather the best information available to them and submit it to a common point for analysis. The information from various sources may not always agree and may even be contradictory, but that information can be synthesized to create the best measurement available. The experts consulted for a HIDTA or an OCDETF measure might well be the members of a given task force, supplemented by community experts from other agencies, including district attorneys, prosecutors, members of the law enforcement community, crime analysts, members of a municipal governing body, representatives of the school system, treatment community, or other informed citizens.

Perhaps the most difficult indicator to measure in the proposed performance monitoring and management system is the reduction of the availability of drugs, which is an intended impact of both the HIDTA and OCDETF programs. As shown in the matrix of measures in Chapter 4, several types of data from different sources are available to measure the impact of a HIDTA or OCDETF task force that was successful in dismantling a targeted DTO. Because the task force will have been composed of knowledgeable members of several different LEAs from the Federal, state, and local level, those task force members and their agencies are the best source of the degree to which the availability of the targeted drug has been reduced. Because an impact, by definition, is broader than the immediate

outcome of the investigation, measurement must go beyond the members of the task force, both geographically and temporally.

A HIDTA or an OCDETF region is geographically a relatively large area. Dismantling of a DTO in one part of that area does not necessarily mean that the availability of the drug has been reduced in another part of the region. The tenuousness of the connection between the successful task force investigation and the reduced availability of the drug is compounded by the fact that DTOs increasingly operate in multiple regions and that HIDTA and OCDETF task forces correspondingly reach across regions. Data from LEAs across the region or regions would be the first measure of reduced drug availability. To measure impact, the law enforcement data can and should be supported by data from other sources. Ethnographers and epidemiologists from different parts of the area involved could be consulted to determine from their sources on the street what the availability, price, and purity of the drug is, and how it changes over time. Data could be compiled at a central location (a HIDTA's intelligence center, for example) to measure the broader and longer impact of the task force.

The local experts should be convened on an annual basis to obtain their input to measure the performance of the HIDTA or OCDETF program in their community. These individuals can be gathered together in focus groups, with an outside researcher functioning as a facilitator, to obtain the experts' input. A set of five or six general questions can be developed to guide open-ended discussions. The goals of the discussions will vary depending on the program to be assessed, its current strategy, and the goals of the task force initiatives being monitored. However, the set of questions developed each year for this group should provide a focus that will accommodate some reasonable level of agreement on a given set of measurement criteria that can be documented in an objective manner.

An alternative way to involve these community experts is to conduct a series of individual interviews, supplemented by some standardized observational research, to document the organizational and programmatic processes that occurred during the previous reporting system; significant events in the community that would have facilitated or impeded the program from reaching its intended goals; an informed assessment of the relationship between program activities and other related law enforcement activities in the community; causal processes as the experts view them; and explanations for the accomplishment of goals, shortcomings in performance, and unintended accomplishments.

This process of involving local program participants and other informed community experts must be systematic (e.g., using standardized processes and anchored scales) to avoid biased and unreliable data. The questions posed to individuals must be structured in a way that enables participants to respond with a similar rating scale or other tool to focus the information into similar categories and directions. Borrowing a page from the COPS Program (see Timothy Bynum's *Using Analysis for Problem-Solving*), data can also be gathered using a small (approximately five simple questions) survey administered to residents, business operators, and those who work in the program neighborhood or community.

Questions could be designed to measure change in drug use, public perceptions of neighborhood safety, and other criteria used to measure program outcomes.

Qualitative data can best be analyzed using software designed for that purpose. Use of the software requires that information be in electronic form, which, for focus groups or interviews of experts, is usually a matter of transcribing notes. The time invested in entering data electronically will be rewarded by improving the efficiency and credibility of the analyses. Electronic files can easily be imported into a software package such as NUD*IST (Non-Numerical Unstructured Data Indexing, Searching, and Theorizing) for analysis. NUD*IST, which was developed by Qualitative Solutions and Research (QSR) in Australia, aids in the process of sorting, aggregating, storing, and analyzing text data. It allows “nodes” or coding categories to be referenced to specific texts or text units. Analysts can browse and edit documents onscreen, annotate documents and create memos, conduct word and text-string searches to enumerate instances of language usage, create and edit coding trees to allow grouping, and see and examine relationships. NUD*IST can then be used to generate reports for particular nodes with their specific assigned text units printed out for analysis. Another powerful software package for qualitative analysis is Qualrus, recently developed by Idea Works, Inc. Among other features, Qualrus includes intelligent coding advice; it automatically identifies patterns in the data and uses those patterns to suggest likely codes to the analyst. Determining inter-coder reliability is still a necessary task of the content analysis, as is developing a coding structure. However, the ability to generate reports with aggregated collections of text units that have been coded at a particular node or coding category will simplify the process and will help expedite the overall content analysis of open-ended data.

These sophisticated software packages can, of course, also be used for compiling data at the headquarters level in Washington. Three of the four HIDTA reports—Threat Assessment, Strategy, and Initiatives—are predominantly narrative, and the Annual Report includes numerous fields that currently require text entry. Similarly, the various OCDEF reports contain text fields. Any comparison of textual information across HIDTAs or OCDEF regions, or from one reporting period to the next, will be greatly facilitated and enhanced by use of a qualitative software package.

5.5 RECOMMEND PROCESS FOR REVIEWING INFORMATION/FEEDING INTO MANAGEMENT OF PROGRAM

Data reported from the field are inevitably aggregated at the national level to create a picture of national performance. OCDEF’s recent emphasis on targeting organizations that cut across regions implicitly raises the level of measurement to a national scale. Nevertheless, there are two reasons to analyze data by region, whether by HIDTA or by OCDEF region. One is to monitor regional performance and, perhaps, to compare regions. The other is to provide a feedback loop to managers at the regional level. Providing aggregate data on a national scale to a region may be inherently interesting, but does not tell the regional

manager about his region's performance in relation to other regions or to the nation as a whole.

Data for FY 2002 are intended to provide a baseline for performance measures. Along with the baseline, development of the system should include benchmarks. System development should take place over time, and the benchmarks should be adjusted to reflect changing realities. Comparison of data from year to year, or by region within some period of time, should provide an indication of how realistic it is, for example, to cut drug supplies by 5 percent each year or how realistic it is to measure the effect of dismantling a money laundering organization.

Finally, just as benchmarks should be adjusted to reflect changing realities, the entire performance monitoring and management system should be subject to periodic review and revision. The need to adjust to policy or program changes is obvious. Less obvious, but perhaps more important for the integrity of the system, is to change measures when they prove to be inadequate or misleading.

6. NEXT STEPS IN DEVELOPING THE PERFORMANCE MONITORING AND MANAGEMENT SYSTEM

The system proposed for the High Intensity Drug Trafficking Area (HIDTA) and the Organized Crime Drug Enforcement Task Force (OCDETF) programs and presented in this report represents a major commitment on the part of the Office of National Drug Control Policy (ONDCP) and the U.S. Department of Justice (DOJ). Over a period of 15 weeks, CSR, Incorporated staff pored over thousands of pages of program documents and hundreds of published reports and articles on performance management. Staff also sought the input and advice of approximately 50 stakeholders in the field. This challenging assignment set the foundation for a performance monitoring and management system that will serve as an important management and planning tool for several years to come. However, for the system to serve as a responsible management barometer, a great deal of work remains to be done.

The top priority in developing and refining this system will be for program managers to recognize its value as a tool to guide program improvement. The system needs to be refined and pilot tested from the ground up, engaging the community of stakeholders and program operators in the review of measures, the development of new data collection methods and the integration of existing reporting systems, and the procedures put into place to manage the system. The system must be perceived as a feedback system that provides local program managers with the information they need to improve their day-to-day operations as well as a management tool to measure the effectiveness of program activities. This effectiveness of the system will require the continued commitment of ONDCP and DOJ in preparing to implement an outcome measurement process. While the first important step has been taken to develop a performance monitoring and management system for HIDTAs and OCDETFs, many decisions remain to be made. These decisions require ONDCP and DOJ to ensure that the menu of measures and monitoring protocols are refined and tested in order to guarantee that the outcomes measures are (1) consistent with agency and program missions and goals; (2) meet the needs of stakeholders; (3) reflect agency responsibility; and (4) pertain to a desired result for the program (Pecora, 1998).

Accomplishing these goals will require a full year of planning and pilot testing before the entire system is ready to be implemented on a national basis for either program. Refinement and testing of the draft performance monitoring and management system will involve careful planning; continued commitment to involving stakeholders to ensure that all participants understand and support the system; responsible testing to refine and validate the performance measures used; and training of staff at the national, regional, and task force levels to ensure that the information produced is reliable and interpreted in a systematic way. The steps recommended in this chapter are intended to accomplish these objectives.

As ONDCP and DOJ continue to refine, pilot-test, and implement performance monitoring for the HIDTA and OCDETF programs, they will adhere to the expectations of the Office of Management and Budget (OMB) to develop an annual performance plan that accomplishes the following:

- States the goals of the program;
- Expresses the goals in objective, quantifiable, and measurable form;
- Identifies the resources required to meet the goals;
- Establishes performance indicators to measure outcomes;
- Compares results with goals; and
- Describes means to validate measured values (Carroll, J.D., 1995).

The remainder of this chapter outlines the steps that must be undertaken by ONDCP and DOJ as the two agencies put a performance monitoring and management system into place that meets the expectations of Congress and OMB and functions as a valuable management tool for the HIDTA and OCDETF programs. This chapter also presents a timetable to guide the important work ahead.

6.1 CONVENE PERFORMANCE MEASUREMENT EXPERTS FOR REVIEW AND ADVICE

During the first 15 weeks of this project, ONDCP and DOJ consulted with several law enforcement experts and criminal justice experts who understood the mission and day-to-day workings of the HIDTA and OCDETF programs. Respected researchers in the criminal justice and related human service fields who are recognized as scholars in the field of performance measurement were also engaged in the design phase of this project. The input of these individuals helped identify and structure the critical components of each program, guide the development of the program logic models, and inform the selection of measures that should be considered for assessing performance. The process supported the involvement of key stakeholders' input to the prioritization of outcomes and the refinement of measures for the OCDETF and HIDTA programs. This process is essential to ensure that the final outcomes, indicators, and measures reflect the goals and objectives of HIDTA and OCDETF programs and that buy-in is achieved for the new performance monitoring and management system. As a U.S. General Accounting Office (GAO) study (1994) of performance monitoring found, "for stakeholders, including agency managers and staff, to use performance measures to gauge progress towards goals, they needed to be involved in developing the measures and needed to understand how the resulting performance information would be used."

The following steps are key to ensuring stakeholder input in the next stage:

- A short series of informal meetings for presenting the draft logic models, measures, and implementation process to OMB, selected GAO, and congressional staff members to learn about their perspectives on appropriate outcomes for the HIDTA and OCDETF programs;
- Focused meetings with ONDCP and DOJ Agency representatives, particularly within the national program offices, to obtain their reaction to recommendations contained in this report and their suggestions for refinement;
- Consultation with a sample of HIDTA grantees and OCDETF task forces in several geographic regions and with participating state and local agency representatives to elicit their feedback on the draft measures and implementation plan proposed for the performance monitoring and management system;
- Synthesis of feedback received during the consultation process;
- Revision of the logic models, menu of measures, and implementation protocol based on feedback received during the consultation process; and
- A meeting of a group of experts to discuss revisions to the logic models, menu of measures, and implementation protocol in planning for the pilot test of the performance monitoring and management system.

These experts should be convened on several occasions throughout the first year of refining and testing the performance monitoring and management system. Each step of the developmental process will require important decisions. Involving these experts, who come from a variety of backgrounds, will ensure that multiple perspectives are debated and addressed.

A group of experts, and DOJ and ONDCP staff supporting them, can be organized into several smaller workgroups that will address data collection plans, data processing schedules, reporting requirements, and the logistics of implementing the performance monitoring and management system for both the HIDTA and the OCDETF programs. Workgroup members will have task-oriented responsibilities for identifying alternatives, decisionmaking, and allocating and carrying out assignments related to each planning and implementation step. Their responsibilities may include deciding which program initiatives should be the primary focus of performance measurement; developing a timeline for testing and implementing tasks; identifying specific outcomes to measure; reviewing and refining the logic model with more intense input from the field; identifying additional data sources for each specific measure; overseeing the development of new data collection systems; planning and monitoring a pilot test; monitoring data analysis and report writing; and evaluating the results of the pilot test and making necessary changes.

Members of the workgroups will seek input from their colleagues in the field at several steps in the process. Multiple perspectives will help each workgroup to

think about the program and its benefits for participating agencies and the community more broadly than if the group relies only on a small core of experts who are removed from the day-to-day operations. The result will be more clearly defined outcomes that capture the program's most important benefits.

In the course of involving other stakeholders in this process, it is important to balance the representation of outside experts. Group members should have a sound understanding of what the Agency and the program does day-to-day, face-to-face with the law enforcement and other participating agencies in the field. These stakeholders may include investigators, prosecutors, executive committee members, and community leaders. Other members should include experts in research design, measurement, and strategic planning.

ONDCP and DOJ staff have already started the important work of refining and testing the performance monitoring and management system. They have (1) reviewed documents that describe each Agency's purpose, mission, and the HIDTA and OCDEF programs; (2) read important program reports and guidelines; (3) discussed the availability of data that can be used as outcome measures; and (4) reached preliminary agreement on program inputs, activities, and intended outputs and outcomes. They agree on the potential benefits of outcome measurement and are ready to attack the thorny issues stemming from the limited availability of indicators and measurement methods for documenting program outcomes. They are prepared to take the next important steps in considering the best approach to data collection, prioritizing the measures that should be captured, and the individuals who should be involved in assembling, reviewing, and incorporating available information into the measurement system.

6.2 DEVELOP A TIMELINE

ONDCP and DOJ will need to develop a timeline to guide the planning, refinement, testing, and implementation of the performance monitoring and management system. Several issues must be considered when developing this schedule.

First, both ONDCP and DOJ have ongoing reporting requirements for the HIDTA and OCDEF programs. For example, each HIDTA must prepare an Annual Report, Threat Assessment, Strategy and Initiatives/Budget on an annual basis, from April 15 to June 15 of each year. OCDEF reporting requirements are driven by case cycles: Investigation Initiation Forms at task force inception, Indictment and Information Forms upon indictment, Disposition and Sentencing Reports and Closing Reports upon case completion. These existing reporting schedules will have to be factored into the timing of the development and implementation of the performance monitoring and management system.

Second, the annual appropriations process must be considered when scheduling the implementation of the performance monitoring and management system. For the HIDTA program, the budget planning stage for each fiscal year occurs in

March and April of the preceding year. Following the development of program reports, submitted by each HIDTA from April through May of each year, the ONDCP's Program and Budget Offices review these reports, submit their comments and await requested changes, send revisions to the National Coordinating Committee in October, present budget requests to Congress in November, and submit the President's budget to Congress by February 1 each year.

Third, the availability of resources will guide the period of refining and pilot-testing the performance system. Funds will have to be earmarked and made available to support staff and contractor assistance in identifying additional measures, developing methods for validating indicators, designing new or revised data collection systems, involving a sample of HIDTA and OCDETF task forces in a pilot-test, collecting and analyzing the data, and analyzing results that will lead to full-scale implementation.

Finally, the refinement and pilot testing of the performance monitoring and management system for each program must be addressed in the preparation and submission of the Fiscal Year Performance Plans submitted by DOJ and ONDCP to OMB each September. These considerations were taken into account while preparing the timeline presented in Exhibit 6-1, Proposed Timeline for Finalizing Performance Monitoring and Management System for HIDTA and OCDETF programs.

6.3 PRIORITIZE THE OUTCOMES TO MEASURE

The logic models developed for the HIDTA and OCDETF programs identify a wide range of intended outputs and outcomes that can be considered as candidates for regular measurement. At this point, it is clear that some of these outcomes are measurable and that the measurement of others will require careful developmental work.

The next step is to prioritize those outcomes that should be the focus of the first wave of performance measurement. These decisions must be guided by a reexamination of the legislative mandate for each program, input from program managers regarding ongoing and new program initiatives, congressional oversight concerns, and a host of other considerations that influence the current strategies mounted by the HIDTA and OCDETF programs. The outcomes that are selected for the pilot-test and first round of implementation will serve as the foundation for all subsequent planning and implementation activities. If the outcomes are not well conceived, the value of outcome measurement is diminished. The following steps should be taken in deciding on the outcomes to be measured:

- Obtain input from key stakeholders concerning the most important program outcomes to be measured (e.g., will they be intermediate or long-term outcomes?);

Exhibit 6-1. Proposed Timeline for Finalizing Performance Monitoring and Management System for HIDTA and OCDETF Programs

| Task/Subtask/Activity | Months | | | | | | | | | | | |
|---|--------|---|---|---|---|---|---|---|---|----|----|----|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
| 1. Involvement of Stakeholders in Review and Revision of the Draft Measures and Implementation Plan | | | | | | | | | | | | |
| 1.1 Meetings with OMB, GAO, and congressional staff | ● | | | | | | | | | | | |
| 1.2 Meetings with ONDCP and DOJ representatives | ● | | | | | | | | | | | |
| 1.3 Consultation with HIDTA grantees and OCDETF Task Forces | ● | | | | | | | | | | | |
| 1.4 Synthesis of stakeholders' feedback | | ○ | | | | | | | | | | |
| 1.5 Revision of Logic Models, Menu of Measures, and Implementation Protocol | | — | | | | | | | | | | |
| 1.6 Meeting of Expert Panel | | ● | | | | | | | | | | |
| 2. Development of a Timeline to Guide the Planning, Refinement, Testing, and Implementation of the Performance Monitoring and Management System | | | | | | | | | | | | |
| 2.1 Review of ONDCP and DOJ reporting requirements | | | — | | | | | | | | | |
| 2.2 Development of draft timeline | | | ○ | | | | | | | | | |
| 2.3 Review and comment by ONDCP and DOJ | | | — | | | | | | | | | |
| 2.4 Development of revised timeline | | | ○ | | | | | | | | | |

▲ Draft Deliverable H Ongoing Activity ■ Final Deliverable ● Meeting or Briefing ○ Internal Activity or Document

Exhibit 6-1. Proposed Timeline for Finalizing Performance Monitoring and Management System for HIDTA and OCDETF Programs (continued)

| Task/Subtask/Activity | Months | | | | | | | | | | | | |
|--|--------|---|---|---|---|---|---|---|---|----|----|----|--|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | |
| 3. Prioritization of Outcomes to Measure in the Pilot-test and First Round of Implementation | | | | | | | | | | | | | |
| 3.1 Solicit input from key stakeholders on most important outcomes to measure | | | | — | | | | | | | | | |
| 3.2 Convene expert panel to obtain consensus on outcomes to be measured | | | | ● | | | | | | | | | |
| 3.3 Refine logic models | | | | — | | | | | | | | | |
| 3.4 Obtain consensus on the methods used to measure outcomes | | | | — | | | | | | | | | |
| 4. Review and Refinement of the Menu of Measures | | | | | | | | | | | | | |
| 4.1 Refinement of measures | | | | | — | | | | | | | | |
| 4.2 Identification of data sources and data collection methods | | | | | — | | | | | | | | |
| 4.3 Development of Data Sources Report | | | | | | | | | | ○ | | | |
| 4.4 Refinement of data reporting/collecting process | | | | | | | | | | — | | | |

▲ Draft Deliverable ▨ Ongoing Activity ■ Final Deliverable ● Meeting or Briefing ○ Internal Activity or Document

Exhibit 6-1. Proposed Timeline for Finalizing Performance Monitoring and Management System for HIDTA and OCDETF Programs (continued)

| Task/Subtask/Activity | Months | | | | | | | | | | | |
|---|--------|---|---|---|---|---|---|---|---|----|----|----|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
| 5. Pilot-Test of the Performance Monitoring System | | | | | | | | | | | | |
| 5.1 Selection of HIDTA and OCDETF pilot test programs | | | | | | — | | | | | | |
| 5.2 Implementation of pilot test | | | | | | | — | | | | | |
| 5.3 Development of a report on the pilot test results | | | | | | | | | | ○ | | |
| 5.4 Convene expert panel to obtain feedback on pilot test results | | | | | | | | | | ● | | |
| 6. Preparation of a Detailed Implementation Plan | | | | | | | | | | | | |
| 6.1 Development of draft implementation plan | | | | | | | | | | | | |
| 6.2 Review and comment by ONDCP and DOJ senior management | | | | | | | | | | | | |
| 6.3 Development of revised implementation plan | | | | | | | | | | | | ■ |

▲ Draft Deliverable ▬ Ongoing Activity ■ Final Deliverable ● Meeting or Briefing ○ Internal Activity or Document

- Obtain input from program operators on what are reasonable and appropriate thresholds that need to be established against which to measure outcomes and impacts (e.g., thresholds for drug availability).
- Refine the logic models already developed and have them stand the test of approval from agency and program leadership and an outside panel of experts; and
- Agree on the method that will be used to measure the outcomes.

When prioritizing outcomes to be measured, it is important to follow these principles:

- There is no right number of outcomes for a program. HIDTA has three stated program goals and OCDETF has five stated goals. The guiding principles of the HIDTA program include (1) increasing law enforcement effectiveness to (2) disrupt and dismantle drug trafficking organizations (DTOs), which should (3) increase the safety of American neighborhoods. The OCDETF program is designed to (1) target major DTOs by (2) coordinating law enforcement agencies, including (3) state and local law enforcement. The OCDETF task forces (4) investigate the infrastructure of the DTO with particular attention toward (5) financial investigations.
- Some initial outcomes may appear to be closer to outputs. The logic models presented in Chapter 3 portray arrests and drug seizures as outputs for both the HIDTA and OCDETF programs. Some program operators may argue that these are really outcomes. Flexibility and interpretation are often needed to make these distinctions and it is important that the outputs, initial outcomes, and longer-term outcomes fit into the logic model in a way that represents the actual implementation and intent of the program.
- Important decisions must be made to establish criteria for the “success” or directionality of a measure.
- Programs are more likely to influence short-term outcomes. Program interventions must compete with extraneous forces in achieving long-term outcomes. A major challenge in refining the logic model for both the HIDTA and OCDETF programs will be to determine how far to extend the program’s intended outcomes. Intended outcomes should capture a meaningful benefit or change in the community but should not be so far beyond the program’s output that the program’s influence is washed out by other factors.

To finalize the outcomes to be measured, ONDCP and DOJ will need to review program requirements and agency accountability. There is the potential for considerable debate on what program outcomes and impacts should be measured. Individuals operating at the task force level are likely to be more conservative in their expectations than national program directors. Some program operators will have difficulties shifting from a focus on internal activities and outputs to a focus on outcomes. The important value of prioritizing the outcomes to be measured is

that it makes these variations visible and requires the key players to be focused on what is important to measure.

6.4 SPECIFY MEASURES AND DATA SOURCES

Chapter 4 of this report presented a menu of measures that will serve as a roadmap for more detailed specification of indicators. Specifying an outcome indicator requires deciding on the actual change that will represent achievement of the outcome and determining the statistic(s) (e.g., number or ratio) the program will calculate to summarize its level of achievement.

Some outcomes are fairly easy to observe and measure, such as the number of drug-related deaths, the number of homicides, the number of drug-related arrests, the number of prosecutions and indictments, and the number of convictions occurring in a given year in a particular county. Typically, these measures are used as outcome indicators because they are collected on a fairly uniform basis across the country and with regularity.

However, many outcomes related to HIDTA and OCDETF missions are not concrete enough to measure directly. For example, the size of the drug problem in the community may be a function of the number and size of DTOs that are active in that community. It is one thing to report the number of DTOs that have been investigated as a result of task force effort. It is more difficult to measure the extent to which the drug-related activity of these organizations has been dismantled or brought to a complete halt as a result of the investigation.

Additionally, an indicator may not capture all aspects of an outcome, and some outcomes may require more than one indicator. For example, measuring the level of drug abuse is a critical component in gauging HIDTA and OCDETF effectiveness. There are several indicators for measuring drug abuse, each with its unique advantages and challenges. For example, survey measures are useful for estimating the incidence of illegal drug use in the general population, but they are subject to a variety of biases associated with self-report data. More objective measures of drug abuse focus on specific populations: Drug Abuse Warning Network (DAWN)-Emergency Room (ER) on ER episodes, Arrestee Drug Abuse Monitoring (ADAM) on arrestees, and Treatment Episode Data System (TEDS) on substance abuse treatment. Each of these objective indicators suggests different forms of drug abuse problems. None of the indicators presents a complete picture of drug use in the general population, but taken together they can present a comprehensive understanding of the level of drug abuse in the community.

Several criteria should be used to guide the process of reviewing and refining the menu of measures:

- Verify that there is at least one indicator for each prioritized outcome;
- Ensure each indicator measures some important aspect of the outcome that no other indicator measures;
- Specify the wording of the indicator so that it is clear what characteristic or change is to be counted; and
- Identify the statistic that will summarize the program's performance on the outcome for each indicator.

In specifying the outcome measures, it will be necessary to identify all other variables that may influence outcomes. These are captured in the boxes entitled “predecessor” and “contextual” variables in the HIDTA and OCDETF logic models, presented in Chapter 3. The measurement system must include measures of these variables in order to link outcomes to program characteristics. For example, the length of operation of a particular task force may be one measure of the maturity of the HIDTA or OCDETF program. Alternatively, the experience level of the program director or the lead investigator may help to explain the extent to which the program is successful in achieving its intended outcomes. In order to explain what program and community characteristics may make a difference, it will be important to include them in the design of the performance monitoring and management system.

The following types of information will support these useful comparisons:

- Demographic characteristics of the community;
- Level of support provided by the local level to the program effort;
- Geographic location and community characteristics related to drug trafficking (e.g., near a seaport, airport, and/or major highway intersections);
- History and characteristics of the organizational unit within which the HIDTA or OCDETF task force operates; and
- Number of law enforcement officials/agencies involved in the program effort.

Once the outcomes to be measured have been prioritized, and the measures have been identified, the basic ingredients of the performance monitoring and management system are in place. The next step is to identify data sources and data collection methods. Many of these sources have been identified in Chapter 4. However, considerable work remains to be done in order to determine the accessibility of these data sources, the currency of the data, the extent to which the data sources will support cross-program comparisons, and the robustness of the data.

ONDCP and DOJ will need to review all data sources identified in this report and supplement them with other available documents, sources, and data repositories at the state and local level (e.g., state hotline reports; local police department records; local informant interviews; and surveys of local schools, juvenile

detention centers, and other programs). This will require a thorough review and inventory of data sources at the Federal, state, and local levels.

Once data sources have been identified, each data source must be documented in terms of its reliability, validity, availability, appropriateness, and coverage. This should result in a stand-alone report that serves as the foundation for baseline data that can be used to measure change in the key outcomes identified over time. It will also serve as a reference point for planning the update of data sources and the identification of missing data that must be developed under new or revised reporting systems. In some cases, existing data systems, such as local police department reports, can be used and the data can be extracted to data collection instruments designed to accommodate uniformity of reporting across task forces, investigations, regions or programs.

Several criteria should guide the decision on new data collection systems, including:

- Is the data collection method feasible and affordable? Is there a less costly way to collect the information?
- Will the resulting data be useful to program managers for program improvement?
- Will the resulting data be credible to those outside the specific HIDTA or OCDETF operation who are making decisions about program priorities and funding?

Several other issues must be addressed when deciding on the collection and reporting of data, whether from existing or new sources. First, decisions must be made concerning the time of the data collected and reported. Is information required at the end of each month, each year, at the completion of each investigation, or after each funding cycle? Are the data to be used as benchmarks for assessing baseline or as measures of change over time? Points in time should be tied to some recognizable, administratively determined event related to the program activity and the intended outcome (e.g., is it an intended short-term outcome resulting from a particular investigation or long-term outcome expected to affect the community after the program has been operating for several years?).

Decisions about who constitutes the participant must also be addressed. In the case of both OCDETF and HIDTA programs, the participant is often a group of agencies in the community and not individuals who are the focus of more traditional service delivery programs. Therefore, data collection efforts must consider what types of data can be gathered that measure organizational changes, as well as data that show impacts on the general population living in the community that is the target of the task force effort.

Finally, decisions must be made concerning who will collect the data. Chapter 5 outlines an overall plan for implementing the performance measurement system for HIDTAs and OCDETFs. However, more detailed attention needs to be

focused on who will participate within a particular HIDTA or OCDETF in the data reporting/collecting process. These decisions must reflect the flexibility given to these programs at the local and regional level, their scope and range of planned strategies, and the intergovernmental relationships established within each program.

6.5 PILOT-TEST THE PERFORMANCE MONITORING AND MANAGEMENT SYSTEM

Following prioritization of outcomes, identification of measures, and development of data sources and data collection methods, ONDCP and DOJ will be ready to pilot-test the system. This trial run will enable the agencies to implement all parts of the performance monitoring and management system on a small sample of the HIDTA and OCDETF programs. The pilot test will include collecting the data, analyzing the data, and reporting on the results for the pilot sites.

The pilot test will enable ONDCP and DOJ to identify the most sensitive measures, use them in a small-scale implementation, and obtain feedback from the field. The pilot test will provide an opportunity to identify issues regarding the practicality of the method and to arrive at preliminary conclusions about the efficacy of the system. The pilot test will also provide an opportunity to identify unanticipated outcomes, identify measures that may not be properly defined, clarify data collection procedures that require further streamlining, and document analysis and reporting problems. The pilot will enable ONDCP and DOJ to address these potential problems, introduce improvements to the system, and increase its usefulness to management before incurring lengthy time commitments and costs required for the full-scale implementation of the system.

The pilot test should be designed to reflect the system as it eventually will be used. In the case of the OCDETF program, the pilot test could be limited to a small sample of core city United States Attorneys and OCDETF field managers to assess proposed systems, program changes, and measures, and to determine if the procedures and measures are feasible and how they should be modified. In the case of the HIDTA program, the pilot test might focus on a sample of strategies planned for a given fiscal year, or it might be tested on several HDTAs, each reflecting a very different kind of initiative. For example, some HDTAs are designed to disrupt drug production, like the Midwest HIDTA for clandestine methamphetamine labs and the Appalachian HIDTA for marijuana cultivation. Others primarily concentrate on curbing the importation of illegal drugs through ports of entry into the United States, such as the Puerto Rico/Virgin Island HIDTA, or the Southwest Border Partnership. Other HDTAs are designed to reduce drug use and related community consequences (e.g., the Washington, D.C./Baltimore HIDTA). Each of these HIDTA types concentrates on different links in the drug supply chain, and represents distinct challenges in terms of activities and performance measurement. Within each category, a program considered to be exemplary by the national program office and another program considered to be moderately successful could be selected to participate in the pilot

test. These decisions could be made by senior staff at the national office and/or consider the results of a “straw vote” by local HIDTA directors.

The schedule for the pilot test should conform to the intended schedule for the full-scale implementation of the performance monitoring and management system. Adequate time should be built in to allow for training the data collectors, setting up tracking and monitoring procedures, and the actual data collection, analyses, and reporting steps.

During the pilot test, ONDCP and DOJ will need to monitor the outcome measurement system itself. It will be important to develop a sound understanding of what the system requires of program operators, program partners, and the staff involved in conducting the monitoring. This assessment should include a realistic assessment of what is required in terms of time, money, and other resources. The pilot test should monitor the following:

- How much time is spent on data collection, including data extraction from existing records/data sources, interviews, and other field data collection;
- Response rates with various categories of respondents;
- What data are easy to retrieve, difficult to collect, and missing;
- What data collection protocols are difficult or impossible to complete;
- What errors occur in the coding, analysis, and reporting of data items;
- What data are required to measure prioritized outcomes but are not available; and
- What support services are required to complete the performance monitoring process.

An important part of the pilot test will be the actual testing of the analytical component of the monitoring system. The analysis plan should define the key research questions to be addressed. This can be a challenging assignment. As Bynum, a well-known criminal justice researcher, noted in a discussion of the national assessment of the Community Oriented Policing Services (COPS)-funded Problem-Solving Partnership Program (PSP), “If the analysis is constrained to only what we know is relevant we may miss important factors related to the problems” (p. 5, www.cops.usdoj.gov).

A well-structured analysis plan will include the principal research questions to be addressed, sources of data for each, a schedule for completing the tasks, and the parties responsible for conducting the activity. It is important that the pilot test be designed to identify what analytical tools and skills are required to process both quantitative and qualitative data, how long it takes to process and analyze the data, how the data can be presented so that it correlates to important outcome assessments and research questions, and how explanatory information can be used to explain outcome results.

The pilot test also provides an opportunity to identify the best ways to present information for various audiences, such as project directors, executive boards, national program offices, OMB, and congressional committees. It will be important to experiment with different ways of presenting data so that it is most useful and understandable to these audiences.

The pilot test should conclude with a debriefing of all key participants to obtain their suggestions regarding ways to improve data collection, analysis, reporting, and procedures that can be introduced to reduce the resources required for performance monitoring, without jeopardizing the end results of the process.

Pilot testing will help identify and rectify problems in the overall implementation plan, the training and technical assistance required, and feedback mechanisms that should be established to ensure that the results of the performance monitoring and management system support management decisions at the Federal, state, and local levels. The pilot test will prepare ONDCP and DOJ, as well as HIDTA and OCDEF program managers, for the full-scale implementation of the performance monitoring and management system.

At the end of the pilot test, results should be shared with the experts in the field to obtain their feedback and recommendations, make necessary adjustments, and launch full-scale implementation. These experts will review all aspects of the pilot test to identify what worked well and how the system can be improved. Their review should start with a focus on the outcome findings themselves by asking the following kinds of questions:

- Did the pilot produce the data needed?
- Did the system actually measure what was intended to be measured?
- Did the system measure outcomes for which the program should be accountable?
- Will the results enable tracking of changes in outcomes from one reporting period to another?
- Will the results enable tracking of progress toward both short-term and long-term outcomes?

ONDCP and DOJ staff should hear directly from program participants involved in the pilot test as well as researchers involved in implementing the pilot and representatives of audiences who reviewed the pilot results. Based on their thorough review of the pilot test, they will be able to recommend refinements to improve the effectiveness and ease of administration of the measurement system.

6.6 PREPARE A DETAILED IMPLEMENTATION PLAN

Following the refinement of the performance monitoring and management system proposed in this report, pilot-testing of the system, and review of pilot test results, a detailed implementation plan will be drafted. This plan will focus on

introducing the outcome measures for the HIDTA and OCDETF programs on a gradual basis, integrating the new measures into existing reporting systems, and outlining training and technical assistance that will be required to support a full-scale adoption of the system by both programs. The implementation plan will include procedures that task forces and grantees can use to estimate the cost of implementing the performance monitoring and management system. It will also incorporate the following components: (1) training of national program staff, onsite monitoring staff, grantee staff and technical assistance providers; (2) training of all task force and grantee staff; (3) recommendations for ongoing technical assistance to support the performance monitoring and management system; (4) use of outcome data to improve program practices and planning; (5) use of outcome data for program monitoring; (6) introduction of additional outcome measures over time; and (7) feedback mechanisms to improve the implementation process.

The implementation plan will identify which outcome measures should be implemented first, with a recommended phase-in schedule over several years, according to the following criteria: (1) measures that are most critical to assessing program performance; (2) those that are easiest to use; and (3) those that can be implemented at minimal cost to the National Program Offices and to the grantees/task forces.

The planning steps outlined in this chapter will require a full year to ensure that the performance monitoring and management system adopted by the HIDTA and OCDETF programs is designed and implemented correctly and that program staff at all levels have a clear understanding of what performance monitoring is (and what it is not), and how the resulting information can be appropriately interpreted and used (Bernstein, 1999; Hatry, 1997; Newcomer, 1997). This testing period will require patience, hard work, and the willingness to move from using imperfect measures to measures that stand the test of use and time. The toughest challenges to developing the performance monitoring and management system have been tackled by this project: (1) translating the general HIDTA and OCDETF mission statements into measurable goals and objectives; (2) distinguishing between outputs, outcomes, and long-term impacts; and (3) specifying, through the development of program logic models, how the programs' operations are intended to produce the desired outputs and outcomes.

It is clear that the value of performance measurement has now been imbedded in the organizational culture of both programs. The information and recommendations for future steps, contained in this report, reflect the genesis of a culture of accountability that is consistent with the commitment of the Administration and all its participating parties. The ultimate success of the HIDTA and OCDETF performance monitoring and management system will be supported by the continued leadership of senior management within ONDCP and DOJ.

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GLOSSARY

- Deconfliction*—A means of coordinating anti-trafficking efforts. Case and target deconfliction help eliminate duplication of effort by agencies pursuing the same target. In addition to creating inefficiency in law enforcement, independent investigations by multiple agencies can interfere with one another. Event deconfliction helps increase officer safety by alerting other agencies to planned actions and interventions (e.g., seizures and raids).
- Dismantled*—To put the criminal organization out of existence or break it up to the extent that reconstruction of the same criminal organization is impossible. (DOJ, Management Review: Organized Crime Drug Enforcement Task Force Program Operations, 2001)
- Disrupted*—Significantly interfering in the conduct of normal and effective operation by the targeted organization, as indicated by changes in organizational leadership, trafficking patterns, or drug production methods. (DOJ, Management Review: Organized Crime Drug Enforcement Task Force Program Operations, 2001)
- Drug-related crime*—Offenses in which a drug’s pharmacologic effects contribute (e.g., rape, assault); offenses motivated by the user’s need for money to support continued use (e.g., robbery, burglary, automobile theft); and offenses connected to drug distribution itself (e.g., homicide, assault). (Bureau of Justice Statistics, Fact Sheet: Drug-Related Crime, 1994)
- Drug-related violence*—Violence, including homicides, assaults, robberies, and rapes, with a substantial drug-related component, either through the use of, or trafficking in, illegal drugs.
- Drug trafficking*—Drug production, transportation, distribution, use, and drug market financial proceeds. (ONDCP. *Managing the Performance of the HIDTA Program, Book 1 of 2*. Internal document. May 28, 2002)
- Drug trafficking organization (DTO)*—Five or more people, organized in some fashion, who gain substantial income from a continuing series of drug-related activities. (HIDTA Program Policy and Budget Guidance; 21 USC 848)
- Major drug trafficking organization (MDTO)*—A drug trafficking organization with links to, or that has demonstrated the potential to link to, components of nationwide or international drug supply or money laundering organizations and/or their facilitators. Such organizations generally involve a sizeable number of individuals or large actual or potential profits gained from the trafficking. MDTOs may include (1) criminal groups formed for the purpose of importing, manufacturing, or distributing large amounts of controlled substances or financing such operations, or (2) criminal groups formed for money laundering operations to transfer or attempt to legitimize narcotics-related monies of the foregoing. For the purposes of OCDETF investigations, a MDTO would be an organization listed in the National Consolidated Priority Organizational Target (CPOT) list or as a priority target in the Regional Strategy. (OCDETF Program Guidelines, July 18, 2002)
- Pen register*—A surveillance device that captures the phone numbers dialed on outgoing telephone calls. Pen registers are different from other surveillance devices because neither the content of the conversation (i.e., wiretap) or the phone numbers of incoming calls (i.e., trap and trace devices) are recorded.
- Performance measurement*—The ongoing monitoring and reporting of program accomplishments, particularly progress toward established goals. It tends to focus on regularly collected data on the level and type of program activities (process), the direct products and services delivered by the program (outputs), and the results of those activities (outcomes). For programs that have readily

observable results or outcomes, performance measurement may provide sufficient information to demonstrate program results. In some programs, however, outcomes are not quickly achieved or readily observed, or their relationship to the program is uncertain. In such cases, program evaluations may be needed, in addition to performance measurement, to examine the extent to which a program is achieving its objectives. (GAO/GGD-00-204, September 2000, p. 3)

Performance monitoring—Systems designed to (1) assess the effectiveness of the National Drug Control Strategy, (2) provide the entire drug control community with critical information on what needs to be done to refine policy and programmatic direction, and (3) assist with drug program budget management at all levels. Such monitoring will not generate a “report card” for drug control agencies but will be useful for them to refine their performance plans. (ONDCP, FY 2002 Annual Performance Plan)

Program evaluation—In-depth assessment of program contributions. Program evaluations examine the logic, assumptions, programs, funding issues, and other contributory factors that affect target achievement using accepted evaluation methodology. (ONDCP, FY 2002 Annual Performance Plan)

List of Acronyms

| | |
|------------|---|
| ADAM | Arrestee Drug Abuse Monitoring |
| ATF | Bureau of Alcohol, Tobacco and Firearms |
| CEWG | Community Epidemiology Work Group |
| CJIS | New Mexico Criminal Justice Information System |
| COPS | Community Oriented Policing Services |
| CPOT | Consolidated Priority Organization Target |
| D.A.R.E. | Drug Abuse Resistance Education |
| DASIS/TEDS | Drug and Alcohol Services Information System: Treatment Episode Data System |
| DAWN | Drug Abuse Warning Network |
| DEA | Drug Enforcement Administration |
| DMP | Domestic Monitoring Program |
| DOJ | U.S. Department of Justice |
| DOT | U.S. Department of Treasury |
| DTO | drug trafficking organization |
| EPIC | El Paso Intelligence Center |
| ER | emergency room |
| FBI | Federal Bureau of Investigation |
| FDSS | Federal-wide Drug Seizure System |
| FinCEN | Financial Crimes Enforcement Network |
| FOMS | FBI Field Office Information System |
| GAO | U.S. General Accounting Office |
| GPRA | Government Performance and Results Act |
| HIDTA | High Intensity Drug Trafficking Area |
| HSP | Heroin Signature Program |
| IIF | Investigation Initiation Form |
| INS | Immigration and Naturalization Service |
| IRS | Internal Revenue Service |
| LEA | law enforcement agency |
| MDTO | major drug trafficking organization |
| MIS | Management Information System |
| NADDIS | Narcotics and Dangerous Drugs Information System |
| NCHS | National Center for Health Statistics |
| NCIC | National Criminal Information Center |
| NDCS | National Drug Control Strategy |
| NDIC | National Drug Intelligence Center |
| NESPIN | North East Suspect Pointer Network |
| NHSDA | National Household Survey on Drug Abuse |
| NIDA | National Institute on Drug Abuse |
| NLEC | National Law Enforcement Center |
| NUD*IST | Non-Numerical Unstructured Data Indexing, Searching, and Theorizing |
| OCDEF | Organized Crime Drug Enforcement Task Force |

Design for a HIDTA/OCDETF Performance Monitoring and Management System

| | |
|--------|---|
| OMB | Office of Management and Budget |
| ONDCP | Office of National Drug Control Policy |
| PSP | Problem-Solving Partnership Program |
| QSR | Qualitative Solutions and Research |
| RISC | Regional Intelligence Support Center |
| SAMHSA | Substance Abuse and Mental Health Services Administration |
| SOD | Special Operations Division |
| STRIDE | System to Retrieve Information from Drug Evidence |
| TNIS | Texas Narcotics Information System |
| UCR | Uniform Crime Reporting System |
| USAO | United States Attorney's Office |
| USCG | U.S. Coast Guard |
| USCS | U.S. Customs Service |
| USMS | U.S. Marshals Service |
| WARG | Washington Agency Representative Group |
| YRBSS | Youth Risk Behavior Surveillance System |

APPENDIX A

ANNOTATED BIBLIOGRAPHY

Appendix A: Annotated Bibliography

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ONDCP

General Accounting Office. *Drug Control: Reauthorization of the Office of National Drug Control Policy*. Report to the Committee on Government Operations, U.S. House of Representatives (GAO/GGD-93-144). 1993. 100 pages. <http://archive.gao.gov/d49t13/150048.pdf>

This report makes recommendations on reauthorizing the ONDCP. It concludes that some strides have been made in reducing casual drug use, but hard-core drug use has not been reduced. It notes that many of the performance indicator measures (particularly hard-core drug use) are inadequate. It also notes that improved working relationships with other agencies are needed.

General Accounting Office. *Drug Control: The Office of National Drug Control Policy—Strategies Need Performance Measures*. Testimony to the Subcommittee on Treasury, Postal Service and General Government Committee on Appropriations, U.S. House of Representatives (T-GGD-94-49). 1993. 19 pages. <http://161.203.16.4/t2pbat4/150348.pdf>

This testimony argues that ONDCP should be reauthorized, but it can still improve. Areas for improvement include creating better measures, interagency cooperation, and creating more flexibility in budget reviews. Trends are noted for ONDCP budgeting, adolescent and general population drug use (Household Survey), homicides, and violent crime (FBI UCR and DAWN) data.

General Accounting Office. *Drug Control: ONDCP Efforts to Manage the National Drug Control Budget*. Report to the Chairman, Subcommittee on Criminal Justice, Drug Policy, and Human Resources, Committee on Government Reform, House of Representatives. (GAO/GGD-99-80). 1999. 40 pages. <http://www.druglibrary.org/schaffer/GovPubs/gao/gg99080.pdf>

This report describes ONDCP's drug budget certification process. It presents case studies for the DEA, USCS, SAMHSA, and the DOD. It also describes efforts to implement a long-term PME system to monitor drug control agency budgets and mentions unresolved issues in PME implementation.

McCaffrey, B.R. *National Drug Control Strategy—Strategic Communications: Selected Writings*. Rockville, MD: National Institute of Justice. 1999. 62 pages.

This book has several publications grouped under the five goals of the National Drug Control Strategy. The articles include discussions on anti-legalization and ONDCP strategic planning.

Design for a HIDTA/OCDETF Performance Monitoring System

National Drug Intelligence Center. *National Drug Threat Assessment 2002*. Johnstown, PA: U.S. Department of Justice. 106 pages.

This publication is a comprehensive assessment of drug use in the United States. It specifically covers availability, demand, production, transportation, and distribution of heroin, cocaine, methamphetamines, marijuana, club drugs, hallucinogens, and pharmaceuticals. Special sections address adolescent drug use and money laundering.

Office of National Drug Control Policy. *Performance Measures of Effectiveness: A System for Assessing the Performance of the National Drug Control Strategy*. Washington, DC: Executive Office of the President. 1998. 116 pages.

This publication details performance measures for the 10-year plan for the National Drug Control Strategy from a GPRA perspective. It outlines five goals of the ONDCP and 12 Impact Performance Targets that support the goals. The goals are supported by 32 objectives, which are represented by 82 specific performance targets. Measures are recommended for each performance target, along with the primary and supporting agencies responsible for target reporting.

Office of National Drug Control Policy. *The National Drug Control Strategy, 1999*. Washington, DC: Executive Office of the President. 1999. 138 pages.

This document outlines the Executive plan for reducing drug use in the United States. It focuses on reducing demand (prevention, treatment) and supply (attacking drug profits, disrupting markets, and international activities). Outcome measures (e.g., MTF, DAWN, NHSDA) are also reviewed.

Office of National Drug Control Policy. *The National Drug Control Strategy: 2000 Annual Report*. Washington, DC: Executive Office of the President. 2000. 164 pages.

<http://www.ncjrs.org/ondcppubs/publications/policy/ndcs00/strategy2000.pdf>

This annual report submitted to Congress by the President documents progress on the National Drug Control Strategy. The PME system reports assessments of drug use and availability, prevention, treatment, law enforcement, interdiction, and international programs. The report also includes a proposed budget, means of implementing the drug control strategy, modifications to the strategy, measurable data, and an assessment of private-sector initiatives and cooperative efforts with local, state, and Federal governments.

Office of National Drug Control Policy. *FY 2002 Annual Performance Plan and FY 2000 Annual Program Performance Report*. Washington, DC: Executive Office of the President. 2001. 71 pages.

This report includes ONDCP's annual plan for 2002, including the overall mission and goals as well as specific program goals for HIDTA programs, the Counterdrug Technology Assessment Center, the National Youth Anti-Drug Media Campaign, and the Drug-Free Communities Support Program. The plan links long-term goals to day-to-day activities. The accompanying Program Performance Plan reviews achievement of FY 2000 performance goals.

Office of National Drug Control Policy. *Office of National Drug Control Policy Agency Accomplishments and Significant Actions, January, 1993–December, 2000*. Rockville, MD: National Institute of Justice. 2001. 177 pages.

This report summarizes the major activities of the ONDCP under Dr. Lee Brown and Gen. Barry McCaffrey during the two terms of the Clinton-Gore administration. Accomplishments include establishing a consensus that a comprehensive response is needed involving prevention, treatment, law enforcement, interdiction and international cooperation. A reverse in the trend of adolescent drug use has also been observed.

Office of National Drug Control Policy. *Pulse Check: Trends in Drug Abuse, Mid-year 2000*. Washington, DC: Executive Office of the President. 2001. 69 pages.

<http://www.whitehousedrugpolicy.gov/publications/drugfact/pulsechk/midyear2000/midyear2000.pdf>

This report documents the national drug threat. It has specific sections reporting on heroin, cocaine, marijuana, methamphetamines, and a special section on MDMA and other club drugs. It reports on availability, price and purity, and modes of distribution.

Office of National Drug Control Policy. *2002 Final Report on the 1998 National Drug Control Strategy: Performance Measures of Effectiveness*. Washington, DC: Executive Office of the President. February 2002. 63 pages.

The 1998 strategy focuses on three primary areas: drug use, availability, and consequences. The five primary goals of the ONDCP are supplemented with 12 key drug impact targets. The progress toward achieving each goal is also covered.

Office of National Drug Control Policy. *FY 2003 Annual Performance Plan and FY 2001 Annual Program Performance Report*. Washington, DC: Executive Office of the President. April 2002. 95 pages.

This document provides an overview of ONDCP performance in 2001 and performance goals in 2003. Of particular interest is Section IV.F.1 (pp. 13–38); it concentrates specifically on HIDTAs. It lists specific goals for HIDTAs, emphasizing efficiency and effectiveness of law enforcement agencies, along with specific developmental benchmarks to be achieved by all HIDTAs.

Reuter, P., and Caulkins, J.P. Redefining the goals of national drug policy: recommendations from a working group. *American Journal of Public Health* 85(8):1059–1063, 1995.

This article argues that total harm from drug use can be expressed as the product of total use and the average harm per unit of abuse. The authors contend that use reduction outcomes overlook differences between drugs, usage patterns, populations, and harms associated with trafficking illegal contraband. The authors suggest that harm reduction be added to the focus on use reduction.

The White House. *General Counterdrug Intelligence Plan*. Washington, DC: Executive Office of the President. February 2002. 82 pages.

The primary goal of the GCIP is to make systematic improvements to U.S. drug intelligence and information programs and to support Federal, state, and local relationships. It provides 73 “action items” that could improve counterdrug activities, including database improvements, better cooperation between agencies at different levels, personnel development, and information technology. It specifically addresses HIDTA intelligence centers.

The White House. *National Drug Control Strategy*. Washington, DC: Government Printing Office. February 2002. 119 pages.

This document outlines the Executive plan for reducing drug use in the United States. It focuses on reducing demand (prevention, treatment) and supply (attacking drug profits, disrupting markets, and international activities). Outcome measures (e.g., MTF, DAWN, NHSDA) are also reviewed.

The White House. *National Drug Control Strategy: 2002 Counterdrug Research and Development Blueprint Update*. Washington, DC: Executive Office of the President. February 2002. 55 pages.

<http://www.ncjrs.org/ondcppubs/publications/scimed/blueprint00/blueprint2000.pdf>

The CTAC is the central counterdrug research and development organization of the ONDCP. The CTAC develops and evaluates technology for use in supply and demand reduction, technology transfer, and program oversight and coordination. This report reviews specific technology developments and projects in each area.

HIDTA

BOTEC Analysis Corporation. *Assessment of the HIDTA Program: High Intensity Drug Trafficking Areas*. Washington, DC: National Institute of Justice, U.S. Department of Justice. 2001.

This report documents, compares, and contrasts the operations of the five initial HIDTA sites. The report addresses three broad questions: (1) how the HIDTA program functions in each of the sites, (2) the effect of the program on interagency cooperation, and (3) how evaluators might measure the impact on drug trafficking. The report recommends increasing the emphasis on Goal 1 (improve LEAs) and de-emphasizing Goal 2 (reduce the effectiveness of DTOs) and Goal 3 (improve neighborhood safety).

Department of Justice. *Center for Task Force Training (CentTF) Program*. Bureau of Justice Assistance Fact Sheet. October 1999. 2 pages.

This fact sheet provides a brief overview of training programs for CentTF. Two 3-day training programs are reviewed. The first, the Narcotics Task Force Workshop, provides management-level training for senior personnel. The second, the Methamphetamine Investigation Workshop, addresses operational and safety aspects of managing methamphetamine investigations.

Eck, J.E., and Gersh, J.S. *How Are We Doing? First Report on Law Enforcement Performance at the Washington/Baltimore HIDTA*. Greenbelt, MD: Washington/Baltimore HIDTA. 1998. 63 pages.

This report evaluates the effectiveness of the Washington/Baltimore HIDTA. Activities are divided into three broad types: geographically focused crackdowns on retail drug dealing in specific neighborhoods, investigations of drug traffickers and drug trafficking groups, and support activities facilitating information exchange. Supplemental information on performance is provided in nine appendices.

General Accounting Office. *Drug Enforcement: Improving Management of Assistance to High Intensity Drug Trafficking Areas*. Testimony before the Select Committee on Narcotics Abuse and Control, U.S. House of Representatives (GAO/T-GGD-91-53). 1991. 14 pages. <http://161.203.16.4/d48t13/144397.pdf>

This testimony reviews the effectiveness of HIDTA management. It reports that the desired collaboration between agencies was not fully attained, with state and local agencies not fully integrated into the HIDTA. Funds for FY 1990 were spent to establish task forces, to transfer Federal agents to the localities, and to purchase equipment. The testimony also suggests establishing a framework for assessing HIDTA effectiveness.

General Accounting Office. *Drug Enforcement: Assistance to State and Local Law Enforcement Agencies in High Intensity Drug Trafficking Areas*. Testimony before the Committee on Narcotics Abuse and Control, U.S. House of Representatives (GAO/T-GGD-92-37). 1992. 8 pages. <http://161.203.16.4/d38t12/146590.pdf>

This testimony covers actions taken by ONDCP to implement previous OMB recommendations to promote interagency cooperation and establish performance monitoring. It also addresses the timeliness of funds disbursement to state and local agencies.

General Accounting Office. *Drug Control: Information on High Intensity Drug Trafficking Areas Program*. Report to the Chairman, Caucus on International Narcotics Control, U.S. Senate (GAO/GGD-98-188). September 1998. 50 pages.

This report addresses how ONDCP is implementing the HIDTA program, the effect the expansion of the program has had on its administration, what ONDCP is doing to measure how HIDTA programs are meeting the objectives established for the areas they serve, how HIDTA funds are allocated, and lessons ONDCP says it has learned from the HIDTA program to date.

Hickey, C., and Medina, C. *Follow the Money: Attack Drug Trafficking Networks Through Informal Value Transfer Systems*. Research Project for ONDCP, John F. Kennedy School of Government. 47 pages.

The authors propose a networks mindset to understand the transfer of value derived from drug trafficking. They address weaknesses in the current drug control strategy and discuss

informal value transfer methods (including Hawala and Chit, misinvoicing, and informal wire transfers).

Hoffman, J. Dissent results in HIDTA. *Law and Order* 47 (6):121–124, 1999.

This article looks at the successes and problems of the HIDTA system. It concludes that ISCs are one of the most effective elements in the program. The article cites problems with the HIDTA program, including unfocused mission statements and bureaucracy. HIDTA started with a focus on national drug smugglers, added urban drug dealers, proceeded to urban crimes in general, and has recently entered the retail police supply business.

Office of National Drug Control Policy. High Intensity Drug Trafficking Area (HIDTA) program FY 2002 performance plan. In: *ONDCP FY 2002 Annual Performance Plan and FY 2000 Annual Program Performance Report*. Section IV. Washington, DC: Executive Office of the President. June 2001. 72 pages.

The FY 2002 Annual Performance Plan states ONDCP's overall mission and goals, as well as those of the four specific ONDCP programs. Of particular interest is the section on HIDTAs (IV.F.1), which includes overview information, impact targets, and past performance.

Office of National Drug Control Policy. High Intensity Drug Trafficking Area (HIDTA) program FY 2002 performance report and FY 2004 performance plan (draft). Washington, DC: Executive Office of the President. June 2002. 11 pages.

This document aligns the HIDTA performance plan with the 2002 National Drug Control Strategy. It focuses primarily on Goal 1 of the HIDTA program: to improve the efficiency and effectiveness of law enforcement within HIDTAs. It lists several objectives associated with improving law enforcement.

Office of National Drug Control Policy. *High Intensity Drug Trafficking Areas, Program Policy and Budget Guidance*. Washington, DC: Executive Office of the President. 2001. 97 pages.

This document provides basic information about the HIDTA program including the purpose, strategies for improving law enforcement, the organizational structure, and performance measurement. It also covers reporting requirements and provides a copy of the annual report form.

Office of National Drug Control Policy. *On-Site Review Program*. Washington, DC: Office of National Drug Control Policy, High Intensity Drug Trafficking Area Program. October 2001.

This document presents a process for HIDTA review. It describes all three phases of program review (annual reports, self-evaluation, and onsite visits). It provides a comprehensive set of interview questions for conducting onsite interviews.

Office of National Drug Control Policy. High Intensity Drug Trafficking (HIDTA) Program: 2002–2008 Strategic Plan (Draft). Washington, DC: Office of National Drug Control Policy, High Intensity Drug Trafficking Area Program. 2002.

This document describes the HIDTA strategies for implementing the 2002 National Drug Control Strategy. It also reviews objectives associated with HIDTA goals.

Office of National Drug Control Policy. *High Intensity Drug Trafficking Area: Overview*. Washington, DC: Executive Office of the President. 2002. 4 pages.

This brief overview provides basic information on HIDTA designation and purposes. It also lists the dates of establishment and budgets of each HIDTA.

Office of National Drug Control Policy. *Managing the Performance of the HIDTA Program, Book 1 of 2*. Internal document. May 28, 2002. 23 pages.

This document provides an overview of HIDTA goals and mission. It provides the three primary goals, specific objectives associated with the goals, and performance measures. It also provides information on the process of HIDTA program evaluation—including internal reviews, reporting results, and onsite reviews by ONDCP.

Design for a HIDTA/OCDETF Performance Monitoring System

Office of National Drug Control Policy. *National Drug Control Strategy: The High Intensity Drug Trafficking Area Program, 2001 Annual Report*. Washington, DC: Executive Office of the President. 2002. 186 pages.

This report covers several facets of HIDTAs including the criteria for designating a HIDTA, key priorities, HIDTA regions and date of establishment, a HIDTA map, and changes in the HIDTA budget over time. It also provides information on specific HIDTAs (threat and strategy abstracts, specific initiatives, and outcomes).

OCDETF

Department of Justice. *FY 2003: Interagency Crime and Drug Enforcement Budget Estimates to Congress*. Washington, DC: U.S. Department of Justice, Interagency Law Enforcement. 2002. 60 pages.

This program summary reports on strategic changes in the OCDETF program including a renewed focus on high-level drug-trafficking organizations and the means of investigating and prosecuting them. The report reviews different specific OCDETF operations, describes the OCDETF management structure, and describes performance measurement indicators.

Department of Justice. *Management Review: Organized Crime Drug Enforcement Task Force Program Operations*. 2000. 31 pages.

This review provides an overview of the OCDETF program. It includes discussions of the value and current roles of OCDETF. A section is dedicated to performance measures, management issues, and the relationship between OCDETF and HIDTA, along with suggestions for enhancing efficiency.

Department of Justice. *Organized Crime Drug Enforcement Task Forces: Management Information System Reporting Forms for FY 2002*. Washington, DC: U.S. Department of Justice, Criminal Division. 2001. 20 pages.

This memo provides the management information system reporting forms for OCDETFs, noting changes to the forms since the previous year. Forms include the Investigation Initiation Form, the Indictment or Information Form, and Closing Report.

Department of Justice. *Organized Crime Drug Enforcement Task Force Program: OCDETF Program Guidelines: 2002 Revisions*. May 2002. 25 pages.

The guidelines were designed to assist investigative and prosecutorial personnel with managing the OCDETF program. It describes the goals and standards and the administrative structure at the national, regional, and judicial district levels. It also reviews OCDETF agents, procedures, and funding.

Department of Justice. *The Organized Crime Drug Enforcement Task Force Program: Guidelines*. Internal document. July 18, 2002.

These guidelines are designed to assist investigative and prosecutorial personnel in managing the OCDETF program. They cover goals, policies, and standards for OCDETF cases. It also outlines the hierarchical structure and procedures of the OCDETF program.

Executive Office for the Organized Crime and Drug Enforcement Task Forces. *Organized Drug Enforcement Task Forces: State and Local Overtime and Authorized Expense Program*. Policies and Procedures Manual. September 1996. 13 pages.

This manual tracks changes in OCDETFs following the change of the funding source to the Department of Justice Assets Forfeiture Fund. It lists procedures for the use of OCDETF funds for overtime and reimbursement requests. The three approved forms for reimbursement are attached.

Executive Office for the Organized Crime and Drug Enforcement Task Forces. *Organized Drug Enforcement Task Forces (OCDETF): Program Fundamentals*. Washington, DC: Criminal Division, U.S. Department of Justice. 1998. 40 pages.

This document provides an overview of the OCDETF program. It also provides copies of three forms: the Case Initiation Form, the Indictment or Information Form, and the Disposition and Sentencing Report.

General Accounting Office. *Criminal Penalties Resulting from the Organized Crime Drug Enforcement Task Forces*. 1986. 16 pages.

This analysis documents the court records on 1,697 offenders convicted and sentenced under the OCDETF program prior to 1986. It lists the sentences received by the type of offense and the criminal fines assessed.

General Accounting Office. *Drug Investigations: Organized Crime Drug Enforcement Task Force Program's Accomplishments*. Briefing report to the Chairman, Committee on the Judiciary, U.S. Senate (GAO/GGD-87-64BR). 1987. 19 pages. <http://161.203.16.4/d28t5/133040.pdf>

This report reviews accomplishments of OCDETF during the first 2 years of operation. Accomplishments are reported in terms of convictions, prison terms, criminal fines, and seizures.

Guiliani, R.W. Organizing law enforcement as well as organized crime. *Public Administration Review* 45:712–717, 1985.

This article argues that Federal law enforcement efforts to control the supply of illegal drugs should be as broad-based and coordinated as DTOs. It describes drug supply control efforts in the 1970s and early 1980s leading to the creation of the OCDETF program.

Law Enforcement Evaluations: Treatment

Department of Justice. *Evaluation of Drug Treatment in Local Corrections*. National Institute of Justice Research Preview. June 1997. 2 pages. <http://www.ncjrs.org/pdffiles/fs000173.pdf>

This document summarizes research into drug treatment programs (JET, DEUCE, REACH, and SAID) in local jails. Participation in the treatment program led to lower rates of serious behavioral problems when incarcerated and a slightly lower recidivism rate 1 year after release.

General Accounting Office. *Drug Treatment: Summary of Federal Programs, Funding, and Performance Goals*. Correspondence to Speaker of the U.S. House of Representatives (GAO/HEHS-99-45R). 1999. 17 pages. <http://161.203.16.4/paprpdf2/161657.pdf>

This report contains information on drug treatment programs, and performance goals and targets. It includes a section on HIDTAs and counterdrug technology. Much of the information is covered in *Drug Treatment: Overview of Federal Programs* (GAO/HEHS-98-237R).

Harrell, A., Cavanagh, S., and Roman, J. Evaluation of the D.C. Superior Court Drug Intervention Programs. *National Institute of Justice Research in Brief*. Washington, DC: Office of Justice Programs, U.S. Department of Justice. April 2000. 12 pages. <http://www.ncjrs.org/pdffiles1/nij/178941.pdf>

The impact of two drug court programs (comprehensive treatment and graduated sanctions) is reviewed in an experimental study. Sanctions program participants were significantly less likely than controls to be arrested in the year following sentencing, and treatment participants were less likely to be arrested on drug-related charges or to report drug-related personal problems in the following year. Evidence for positive economic outcomes was found for both drug testing and sanctions programs.

Design for a HIDTA/OCDETF Performance Monitoring System

Messina, N., Wish, E., and Nemes, S. Therapeutic community treatment may reduce future incarcerations: A research note. *Federal Probation* 65(2):40–45, 2001.

This article takes the position that attention needs to be directed toward reducing recidivism within drug offender populations. It reports a study on therapeutic community treatment and finds that treatment completion is associated with a reduction of being incarcerated, although the causal mechanism is not clear.

Office of National Drug Control Policy. *Evidence-Based Principles for Substance Abuse Prevention*. Washington, DC: Executive Office of the President. 3 pages.

www.ncjrs.org/ondcppubs/publications/policy/ndcs00/evidence2000.pdf

This brief document presents 15 principles upon which prevention programming can be based. There are five subsections: risk and protective factors for a defined population, approaches that have been proven effective, early and transitional interventions, interventions in appropriate settings, and effective program management.

Weisburd, D., and Taxman, F.S. Developing a Multicenter Randomized Trial in Criminology: The Case of HIDTA. *Journal of Quantitative Criminology* 16(3):315–340, 2000.

This article describes methodological issues in criminal justice evaluation using the Washington, D.C./Baltimore HIDTA as an example. The article contrasts traditional law enforcement evaluation methods (meta-analysis and replication studies) with multicenter clinical trials—a single experimental protocol implemented at several sites. Advantages and drawbacks of multicenter clinical trials are also reviewed.

Wish, E.D. Drug treatment needs among adult arrestees in Baltimore. *National Institute of Justice Research Preview*, September, 1997. 2 pages.

This research summary describes drug dependence among arrestees in Baltimore. The Substance Abuse Need for Treatment Among Arrestees methodology, based on the DUF program, was used. Results suggest that a substantially larger number of arrestees were dependent on heroin and cocaine than are available allocated treatment slots.

Law Enforcement Evaluations: Money Laundering

Bauer, P., and Ullman, R. *Understanding the Wash Cycle*. Money Laundering: Economic Perspectives. Washington, DC: U.S. Department of State. 2001. 7 pages.

<http://usinfo.state.gov/journals/ites/0501/ijee/clevelandfed.htm>

This paper covers the basics of money laundering and key U.S. legislation enacted to combat it. The paper trail generated by money laundering and global issues are also covered, along with future considerations.

Cassella, S.D. Recovery of financial proceeds generated in one nation and found in another. *Journal of Financial Crime* 9(3):268–276, 2002.

This paper describes the types of cases that have most often resulted in the deposit of criminal proceeds in foreign bank accounts. The globalization of money laundering has created the need for international cooperation and judicial protocols for establishing how the seizure of foreign-held assets are to be accomplished.

Department of the Treasury. *The 2001 National Money Laundering Strategy*. Washington, DC: Office of Enforcement, U.S. Department of the Treasury. 2001. 90 pages.

<http://www.treas.gov/press/releases/docs/ml2001.pdf>

This document provides an overview of the National Money Laundering Strategy and each of the goals and objectives associated with it. Major goals include (1) focus law enforcement efforts on prosecuting major money laundering organizations, (2) measure the effectiveness of anti-money-laundering efforts, (3) prevent money laundering through cooperative public-private efforts and regulatory efforts, (4) coordinate state and local law enforcement efforts to combat money laundering, and (5) strengthen international cooperation.

General Accounting Office. *Money Laundering: The U.S. Government Is Responding to the Problem*. Report to the Chairman, Subcommittee on Terrorism, Narcotics and International Operations, Committee on Foreign Relations, U.S. Senate (GAO/NSIAD-91-130). 1991. 62 pages. <http://161.203.16.4/d20t9/143917.pdf>

This report deals with anti-money-laundering activities by the Federal Government as of the early 1990s. It identifies progress made in tracking money-laundering operations, including financial tracking and law enforcement resource allocations. It also discusses the difficulties in program evaluation for anti-laundering law enforcement efforts and recommends better coordination between agencies and improved technology.

Jurith, E.H. International cooperation in the fight against money laundering. *Journal of Financial Crime* 9(3):212–216, 2002.

This article reviews the problem of money laundering. It also summarizes the responses of the U.S. Government to combat money laundering, the success of Government responses, and future challenges that will arise.

Levitt, S.D., and Venkatesh, S.A. *An Economic Analysis of a Drug-Selling Gang's Finances*. Cambridge, MA: National Bureau of Economic Research. 1998. 42 pages.

This report analyzes a data set detailing the financial activities of a drug-selling street gang on a monthly basis over a 4-year period. The authors conclude that there is substantial markup at the street distribution level, wage distributions within the gang are heavily skewed toward leadership (and are not as lucrative as widely suspected), and that gang wars drive down profitability.

Law Enforcement Evaluations: Technology

General Accounting Office. *Terrorism and Drug Trafficking: Technologies for Detecting Explosives and Narcotics*. Report to Congressional Requesters (GAO/NSIAD/RCED-96-252). 1996. 28 pages. <http://www.gao.gov/archive/1996/ns96252.pdf>

This report discusses the development of counter-smuggling technology. The Government has invested considerable resources in developing new technology. The report argues that a tradeoff exists between the relative cost and effectiveness of new technology, and it discusses the crucial role of intelligence gathering.

General Accounting Office. *Drug Trafficking: Responsibilities for Developing Narcotics Detection Technologies*. Testimony before the Subcommittee on National Security, International Affairs, and Criminal Justice, Committee on Government Reform and Oversight, House of Representatives (GOA/T-NSIAD-97-192). 1997. 8 pages. <http://www.gao.gov/archive/1997/ns97192t.pdf>

This testimony summarizes developments in narcotics detection technology from the four agencies responsible for development and coordination: ONDCP, USCS, DOD, and OMB. Many technologies already under development by the DOD are adapted for use by Customs. The testimony reports on differences between the four agencies that have led to some inefficiencies in technology development.

General Accounting Office. *Drug Control: DEA Could Still Improve Its Heroin Signature and Domestic Monitor Programs' Geographic Source Data*. Report to the Co-Chairman, Caucus on International Narcotics Control, U.S. Senate. (GAO-02-416). 2002. 33 pages. <http://www.gao.gov/new.items/d02416.pdf>

This report covers two DEA programs for analyzing heroin: the Heroin Signature Program (HSP) and the Domestic Monitor Program (DMP). Both programs produce chemical signature information that can identify geographic sources. Suggestions for improvement include producing population estimates using better sampling techniques, and revising HSP and DMP methodology to account for possible sampling bias.

National Institute of Justice. *Second Annual National Conference on Science and the Law: Summary of Proceedings*. Washington, DC: Office of Justice Programs, U.S. Department of Justice. 2000. 42 pages. <http://www.ncjrs.org/pdffiles1/nij/191717.pdf>

This document is a summary of the proceedings of the Second Annual National Conference on Science and the Law, which brought together members of the scientific, legal, and academic communities. Conference speakers explored emerging areas and changing standards of admissibility, risk assessments, and expert testimony and the role of judges, jurors, and attorneys. It also covered present and future directions in DNA evidence and changes in the treatment of admissible evidence.

Law Enforcement: Database Connectivity

Department of Justice. *Program Brief: Regional Intelligence Sharing Systems Program*. Washington, DC: Office of Justice Programs, Bureau of Justice Assistance, U.S. Department of Justice. April 2002. 3 pages. <http://www.ncjrs.org/pdffiles1/bja/192666.pdf>

This program brief describes the Regional Information Sharing Systems (RISS). Key program services include information sharing, data analysis, investigative support, specialized equipment, technical assistance, and training.

General Accounting Office. *Statement of Arnold P. Jones, Senior Associate Director General Government Division* before the Subcommittee on Government Information, Justice and Agriculture Committee on Government Operations on Regional Information Sharing Systems. Washington, DC. 1985. 6 pages.

This testimony focuses on a GAO November 1984 report entitled “Regional Information Sharing Systems.” It describes the conditions that led to the establishment of the RISS program, improved project management, and services provided by RISS.

Institute for Intergovernmental Research. *The RISS Program: 2000*. Washington, DC: Bureau of Justice Assistance. (Grant number 1999-RS-CX-005). 2001. 23 pages.

This document summarizes the RISS program. It describes the collaboration with HIDTA programs, user enrollment, and integration with other databases (e.g., EPIC). It also describes RISS services and provides case examples of application of the system by participating law enforcement agencies.

Law Enforcement: Enforcement and Interdiction

Bureau of Justice Assistance. *Strategic Approaches to Clandestine Drug Laboratory Enforcement*. Bureau of Justice Assistance Fact Sheet. Office of Justice Programs, U.S. Department of Justice. 1999. 3 pages.

This fact sheet summarizes the methods for investigating and cleaning up clandestine methamphetamine laboratories. It describes several training courses in lab investigations, managing law enforcement, personal and environmental safety, and strategic planning for clandestine lab enforcement. Other available resources include technical assists and resource publications.

Caulkins, J.P. The cost-effectiveness of civil remedies: the case of drug control interventions. In: L.G. Mazerolle and J. Roehl, eds., *Crime Prevention Studies*, volume 9. Monsey NY: Criminal Justice Press. 1998. pp. 219–237.

This paper discusses the cost-effectiveness of civil remedies for drug control interventions. A conceptual framework and rough rules of thumb for assessing the effectiveness of individual interventions are provided.

Caulkins, J.P., Crawford, G., and Reuter, P. Simulation of adaptive response: A model of drug interdiction. *Mathematical Computational Modelling* 17(2):37–52, 1993.

This paper examines several issues surrounding cocaine importation into the United States using a Monte Carlo simulation of the smuggling and interdiction of illicit drugs that explicitly allows for adaptation across routes and modes. The authors argue that only under

truly exceptional circumstances will increasing interdiction have a substantial impact on U.S. cocaine consumption.

Complete List of Indicators for the Multilateral Evaluation Mechanism. Fifth Meeting of the Intergovernmental Working Group on the Multilateral Evaluation Mechanism. Washington, DC. May 1999. 29 pages.

This index reports on five goals for drug control efforts: optimize national strategy, prevent drug use, reduce drug production, improve drug control, and estimate societal costs of the drug problem. These five goals are further broken down into 17 specific objectives, which in turn are broken down into specific operational definitions.

Department of Justice, Office of Justice Programs, OJP Drugs and Crime Working Group. Strengthening enforcement and interdiction efforts. In: *A Report to the Assistant Attorney General, Office of Justice Programs*. January 1996. <http://www.ojp.usdoj.gov/reports/96wg/wg1.htm>

This report summarizes several enforcement and interdiction efforts. Programs include clandestine lab training, RISS, Organized Crime Narcotics Trafficking Enforcement Program, Financial Investigations Program, Gang and Drug Policy Approach, and HIDTA evaluation, among others.

Department of Justice. *FY 1999 Summary Performance Plan*. February 1998. 65 pages.

The performance plan sets forth the major program goals to be achieved by DOJ in FY 1999. It synthesizes the performance plans of DOJ organizations (e.g., FBI, INS, DEA). This plan is devised in accordance with GPRA, namely in its focus on results rather than activities. It identifies measurable, outcome-oriented strategic performance goals.

Department of Justice. *Fiscal Year 1999: Annual Accountability Report*. U.S. Department of Justice, Office of the Attorney General. March 2000. 250 pages.

This report provides program and financial performance for DOJ agencies in FY 1999. A number of drug-related outputs were achieved and listed, particularly with regard to strategic Goal 1.1 (reduce violent crime, including organized and drug- and gang-related violence). OCDETF performance is also covered in terms of specific projects and outcomes.

Department of Justice. *Strategic Plan, 2001-2006*. 154 pages. <http://www.usdoj.gov/jmd/mps/strategic2001-2006/>

The plan is organized in three parts. The first outlines major themes underlying strategic goals and objectives. The second sets forth goals, strategies, and objectives. The third describes the role of evaluation in carrying out the strategic plan and provides a schedule of program evaluations.

Dilulio, J.J., Alpert, G.P., Moore, M.H., Cole, G.F., Petersilia, J., Logan, C.H., and Wilson, J.Q. *Performance Measures for the Criminal Justice System* (BJS grant number 92-BJCS-0002). Washington, DC: U.S. Office of Justice Programs, Bureau of Justice Statistics, Department of Justice. 1993. 77 pages.

<http://www.bja.evaluationwebsite.org/html/documents/document1.html>

This collection of papers was designed to engage the criminal justice community in a debate regarding the appropriate measures for law enforcement agency effectiveness. The papers discuss measures of efficiency, effectiveness, and fairness.

General Accounting Office. *Drug Smuggling: Large Amounts of Illegal Drugs Not Seized by Federal Authorities*. Report to the Chairman, Subcommittee on Information, Justice, and Agriculture, Committee on Government Operations, U.S. House of Representatives (GAO/GGD-87-91). 1987. 40 pages.

<http://161.203.16.4/t2pbat21/133441.pdf>

This review focuses on air and marine interdiction programs on the southwest border and in the Gulf of Mexico. Relatively small proportions of the total estimated smuggled drugs were interdicted. Reasons for the lack of effectiveness include insufficient equipment and personnel, lack of available intelligence information, and security breaches.

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General Accounting Office. *Capabilities for Interdicting Airborne Drug Smugglers Are Limited and Costly*. Testimony before the Senate Permanent Subcommittee on Investigations, U.S. Senate (GAO/T-GGD-89-28). 1989. 7 pages. <http://161.203.16.4/t2pbat14/138827.pdf>

This testimony reports on the expense and relative effectiveness of airborne interdiction programs. It documents certain vulnerabilities in the air interdiction system and concludes that no appreciable change has occurred in drug availability as a result of air interdiction.

General Accounting Office. *Drug Control: Inadequate Guidance Results in Duplicate Intelligence Production Efforts*. Report to Congressional Requesters (GAO/NSIAD-92-153). 1992. 28 pages. <http://archive.gao.gov/d32t10/146612.pdf>

This report discusses the overall increase in counternarcotics intelligence, yet decries the lack of a centralized coordination effort, which often results in duplication of efforts. The report recommends that the Defense Intelligence Agency finalize its counternarcotics intelligence collection strategy, and that agreements should be made between DOD and local law enforcement agencies. These recommendations were made to facilitate implementation of the EMERALD database (finalized in 1992).

General Accounting Office. *Drug Control: Coordination of Intelligence Activities*. Briefing reported to the Chairman, Committee on Government Operations, U.S. House of Representatives (GAO/GGD-93-83BR). 1993. 22 pages. <http://161.203.16.4/t2pbat6/149104.pdf>

This testimony summarizes the activities of counternarcotics intelligence centers and local law enforcement agencies. It reports duplication of effort in the analysis and reporting of intelligence data, the need for coordination, and the role of ONDCP in organizing activities.

General Accounting Office. *Drug Control: Expanded Military Surveillance Not Justified by Measurable Goals or Results*. Testimony before the Legislation and National Security Subcommittee, Committee on Government Operations, U.S. House of Representatives (GAO/T-NSIAD-94-14). 1993. 5 pages. <http://161.203.16.4/t2pbat5/150039.pdf>

This testimony concludes that, even with military surveillance of cocaine smugglers, there has been no observable reduction in cocaine availability. It argues that detecting and monitoring drug smugglers depends on more than surveillance and requires apprehension capabilities. The high profit margin and flexibility of smuggling operations are resistant to surveillance and interdiction efforts.

General Accounting Office. *Drug Control: Increased Interdiction and Its Contribution to the War on Drugs*. Testimony before the Subcommittee on Treasury, Postal Service and General Government, Committee on Appropriations, U.S. Senate (GAO/T-NSIAD-93-4). 1993. 8 pages. <http://161.203.16.4/d42t14/148735.pdf>

This testimony discusses interdiction and its impact on the supply of cocaine entering the country. It covers increased DOD surveillance of smuggling routes in the Caribbean and Pacific, which helped increase seizures but did not measurably reduce the cocaine availability or price. It concludes that interdiction does not appear to be a cost deterrent to smugglers.

General Accounting Office. *Border Control: Revised Strategy Is Showing Some Positive Results*. Report to the Chairman, Subcommittee on Information, Justice, Transportation and Agriculture, Committee on Government Operations, House of Representatives. (GAO/GGD-95-30). 1994. 28 pages. <http://161.203.16.4/t2pbat2/153402.pdf>

This document reports on the threat of drug smuggling over the southwest border and ways of improving security between ports of entry. Recommendations for prevention strategies are included, with particular emphasis on San Diego and El Paso—primary entry points for illegal aliens and drugs.

General Accounting Office. *INS Drug Task Force Activities: Federal Agencies Supportive of INS Activities*. Report to the Honorable Alfonse D'Amato, U.S. Senate. (GAO/GGD-94-143). 1994. 20 pages. <http://161.203.16.4/t2pbat2/152294.pdf>

This report provides information on INS participation in the OCDETF program through a pilot program in four core cities (Miami, New York, Houston, and Los Angeles). It also documents INS resources allocated to OCDETF.

General Accounting Office. *Customs Service: Drug Interdiction Efforts*. Briefing Report to the Chairman, Subcommittee on Trade, Committee on Ways and Means, House of Representatives (GAO/GGD-96-189BR). 1996. 130 pages. <http://www.druglibrary.org/schaffer/GovPubs/gao/pdf35.pdf>

This report reviews the drug interdiction activities of the USCS. It covers national programs and interdiction activities in specific locations (e.g., Miami and San Diego). It also reviews challenges to measuring success (i.e., difficulties in measuring costs and effectiveness and concentration on low-level “port cases”).

General Accounting Office. *Drug Control: Observations on U.S. Interdiction in the Caribbean*. Testimony before the Subcommittee on National Security, International Affairs and Criminal Justice, Committee on Government Reform and Oversight, House of Representatives (GAO/T-NSIAD-96-171). 1996. 15 pages. <http://www.druglibrary.org/schaffer/GovPubs/gao/pdf19.pdf>

This testimony describes U.S. interdiction efforts in the Caribbean. It covers the nature of drug trafficking activity in the transit zone, host nation impediments to an effective interdiction strategy, U.S. capabilities to interdict drug shipments, and Federal agency planning, coordination, and implementation of interdiction efforts.

General Accounting Office. *Customs Service: Information on Southwest Border Drug Enforcement Operations*. Letter to the Honorable Dianne Feinstein (GAO/GGD-97-173R). 1997. 16 pages. <http://161.203.16.4/paprpdf1/159362.pdf>

This report concentrates on the USCS’s methodology of allocating resources for drug enforcement activities, inspection requirements for cargo entry, and internal controls for record keeping. Concentrating on the southwest border, the report provides information on drug enforcement, inspector training, cocaine seizure data, the development and use of drug information, the vulnerability of radio communications systems, actions addressing the problem of “spotters,” and the performance of the truck x-ray system.

General Accounting Office. *Drug Control: Observations on Elements of the Federal Drug Control Strategy*. Report to Congressional Requesters (GAO/GGD-97-42). 1997. 68 pages. <http://www.druglibrary.org/schaffer/GovPubs/gao/pdf16.pdf>

This report discusses several facets of the Federal Drug Control Strategy. It reviews current research findings on youth drug abuse prevention and describes promising strategies for treating cocaine addiction. It summarizes the effectiveness of international supply strategies. It assesses whether USCS interdiction activities conform to GPRA requirements. It also summarizes recent GAO reports on Federal drug prevention and treatment-related efforts.

General Accounting Office. *Drug Control: Update on U.S. Interdiction Efforts in the Caribbean and Eastern Pacific*. Report to Congressional Requesters (GAO/NSIAD-98-30). 1997. 41 pages. <http://www.druglibrary.org/schaffer/GovPubs/gao/pdf10.pdf>

This report discusses efforts to stop the flow of illegal drugs through the maritime transit zone in the Caribbean and Eastern Pacific. It documents expenditures, maritime assets, and drug interdictions over time and reviews international agreements to stem drug smuggling. It also explains logistic difficulties (including technology, intelligence sharing, and organizational issues) in maritime smuggling detection and interdiction.

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General Accounting Office. *Customs Service Drug Interdiction: Internal Control Weaknesses and Other Concerns with Low-Risk Cargo Entry Programs*. Report to the Honorable Dianne Feinstein, U.S. Senate (GAO/GGD-98-175). 1998. 31 pages. <http://www.gao.gov/archive/1998/gg98175.pdf>

This report reviews Customs' drug enforcement operations along the southwest border and describes Customs' low-risk cargo entry programs, particularly the Line Release Program. Weaknesses include (1) lack of specific criteria for determining applicant eligibility, (2) incomplete documentation of applicant screening and review, and (3) lack of documentation of supervisory review and decision approval. The three-tier Targeting Program had two operational problems: (1) little database information for researching foreign manufacturers, and (2) dubious reliability of low-risk and high-risk designations.

General Accounting Office. *Drug Control: An Overview of U.S. Counterdrug Intelligence Activities*. Report to the Chairman, Subcommittee on National Security, International Affairs, and Criminal Justice, Committee on Government Reform and Oversight, House of Representatives (GOA/NSIAD-98-142). 1998. 64 pages. <http://www.druglibrary.org/schaffer/GovPubs/gao/ns98142.pdf>

This report provides a synopsis of U.S. counterdrug intelligence activities including human intelligence, electronic surveillance, and photography/imaging sources. Intelligence can be strategic (broad trafficking patterns), operational/investigative (analytical support for ongoing investigations), and tactical (for specific operations). It also summarizes budget and manpower allocations used to support counterdrug enforcement, and the various bureaus and agencies involved.

General Accounting Office. *Drug Control: Observations on U.S. Counternarcotics Activities*. Testimony before the Subcommittee on Western Hemisphere, Peace Corps, Narcotics, and Terrorism, Committee on Foreign Relations, and the Caucus on International Narcotics Control, U.S. Senate. 1998. 11 pages.

<http://www.druglibrary.org/schaffer/GovPubs/gao/ns98249.pdf>

This testimony details the challenges in stemming the flow of illegal drugs into the United States. These challenges include the flexibility and resources of DTOs and obstacles in foreign countries. In addition, U.S. counternarcotics efforts are hampered by organizational/operational limitations, and planning and management limitations. Recommendations for improvement include (1) developing measurable goals, (2) better use of intelligence technology, (3) creating a centralized system for recording "best practices," and (4) better planning of counternarcotics assistance.

General Accounting Office. *Law Enforcement: Information on Drug-Related Police Corruption*. Report to the Honorable Charles B. Rangel, House of Representatives (GAO/GGD-98-111). 1998. 43 pages.

<http://www.druglibrary.org/schaffer/GovPubs/gao/gg98111.pdf>

This report discusses the extent of drug-related police corruption. It concludes that there is limited information on the nature and extent of drug-related police corruption. However, it does identify various factors associated with drug-related police corruption and practices that may prevent and detect it.

General Accounting Office. *Drug Control: DEA's Strategies and Operations in the 1990s*. Report to Congressional Requesters (GOA/GGD-99-108). 1999. 172 pages.

<http://www.druglibrary.org/schaffer/GovPubs/gao/deaoperations.pdf>

This report covers the major enforcement strategies that were implemented by the DEA in the 1990s and whether the DEA's strategic goals and objectives are congruent with the National Drug Control Strategy. The report covers the expanded role of the DEA and concludes that the DEA needs to develop measurable performance targets consistent with the National Drug Control Strategy.

General Accounting Office. *DEA's Mobile Enforcement Teams: Steps Taken to Enhance Program Management, But More Can Be Done*. Report to the Chairman, Subcommittee on Crime, Committee on the Judiciary, U.S. House of Representatives (GAO-01-482). 2001. 96 pages.

<http://www.gao.gov/new.items/d01482.pdf>

This report discusses the DEA's management and implementation of Mobile Enforcement Teams (MET), investigative techniques in MET, and performance measures to assess MET effectiveness. The report concludes that record keeping regarding MET deployment is insufficient for adequate performance monitoring (e.g., the capacities of the assisted agency).

General Accounting Office. *Drug Control: Difficulties in Measuring Costs and Results of Transit Zone Interdiction Efforts*. Report to the Honorable Jeff Sessions, U.S. Senate (GAO-02-13). 2002. 46 pages.

<http://www.gao.gov/new.items/d0213.pdf>

This report reviews the roles of DOD, USCG, and USCS in transit zone interdiction. It also discusses funds earmarked for transit zone interdictions, performance measures used by each agency to track effectiveness, and the accuracy of seizure data—particularly when multiple agencies participate in the seizures. Measures to prevent overcounts are presented, and the relative role of each agency is reviewed.

General Accounting Office. *The Drug Enforcement Administration's Reporting of Arrests*. Letter to the Honorable Jeff Sessions, U.S. Senate (GAO-02-276R). 2002. 9 pages.

<http://www.gao.gov/new.items/d02276r.pdf>

This report is presented to address allegations that the DEA's Caribbean Division has taken credit for drug arrests in which the DEA played no role. The DEA's policies for reporting drug arrests are summarized. The report concludes that overreporting of arrests was a one-time occurrence, with the 1999 Caribbean Division reporting 331 (out of 2,058, or 16.1 percent) arrests that it should not have claimed. Subsequent onsite inspections found relatively few arrest-reporting problems.

Hatfield, J.M. *Developing Performance Measures for Criminal Justice Programs: Assessment and Evaluation, Handbook Series 2*. Washington, DC: Justice Research and Statistics Association. 1994. 24 pages.

http://evaluationwebsite.org/bja/html/documents/mydeveloping_performance_measures.html

This handbook describes a general model for criminal justice program design, including creating clear goals and objectives, descriptions of program activities, and creating measurable performance indicators.

Kirchner, R.A., Przybylski, R.K., and Cardella, R.A. *Assessing the Effectiveness of Criminal Justice Programs: Assessment and Evaluation, Handbook Series 1*. Washington, DC: Justice Research and Statistics Association. 1994. 34 pages. <http://www.bja.evaluationwebsite.org/html/documents/handbook1.html>

This handbook is designed to aid criminal justice policymakers and program managers in assessing the effectiveness of their programs. It proposes general effectiveness criteria and describes methods to translate criteria into program elements. Specific program examples are provided to show how these program elements can be used to measure goal and objective achievement.

Kleiman, M. Data and analysis requirements for policy toward drug enforcement and organized crime. In: *America's Habit: Drug Abuse, Drug Trafficking and Organized Crime*. President's Commission on Organized Crime. Washington, DC: Government Printing Office. 1986. 19 pages.

This report focuses on the interrelationship of organized crime and drug-related crime, noting areas of overlap and distinctions between the two. Because data collection and analysis for drug control policy are expensive, the report attempts to identify the most salient areas, including descriptive, theoretical, and evaluative data. The primary sources mentioned are surveys of drug use, observations on the results of drug use, and enforcement data—including the opinions of law enforcement personnel and prosecutors. The strengths and drawbacks of each data source are discussed.

Kort, P.M., Feichtinger, G., Hartl, R.F., and Haunschmied, J.L. Optimal enforcement policies (crackdowns) on an illicit drug market. *Optimal Control Applications and Methods* 19:169–184, 1998.

This paper presents an optimal control model for designing law enforcement programs that will minimize the social costs from both the drug market and the law enforcement crackdown. It concludes that in a “sellers market” law enforcement efforts should have the greatest impact, but in a “buyers market” the optimal law enforcement policy should focus on keeping the number of dealers constant.

Maltz, M.D. *Evaluation of Crime Control Programs*. Washington, DC: U.S. Department of Justice, Law Enforcement Assistance Administration. 1972. 47 pages.

<http://bja.evaluationwebsite.org/html/documents/documento.html>

This paper discusses some common problems found in evaluating crime control programs. Recommendations are made to assist in program planning, selecting geographic areas for program implementation, choosing measures of effectiveness, and conducting the evaluation.

McNeese, C.A. *Study of Drug Law Enforcement Multijurisdictional Task Forces Funded with Byrne Grants in Florida*. Tallahassee, FL: The Institute for Health and Human Services Research, Florida State University. 2000. 87 pages. <http://www.ihhsr.fsu.edu/Reports/2000-2.htm>

Some of the major topics covered in this report include coordination and interaction among task force members and with other law enforcement agencies, the impact of task force activities on levels of drug crime, task force expenditures, and task force performance objectives. This report documents a wealth of information on drug law enforcement multijurisdictional task forces, summarizes the major findings, and recommends relevant directions for the future.

Office of National Drug Control Policy. *Measuring the Deterrent Effect of Enforcement Operations on Drug Smuggling, 1991–1999*. August 2001. 163 pages.

http://www.whitehousedrugpolicy.gov/publications/pdf/measure_deter_effct.pdf

This study takes a mixed qualitative/quantitative approach to studying the deterrent effects of drug enforcement operations on cocaine trafficking. Qualitative data is gathered through interviews with convicted high-level drug smugglers. Quantitative data includes the price of cocaine and changes in trafficking behavior resulting from significant interdiction efforts. Appendix B to the report contains information on the evolving nature of drug-smuggling organizations.

Organization of American States. *Multilateral Evaluation Mechanism, Evaluation of Progress in Drug Control: Hemispheric Report, 1999–2000*. Inter-American Drug Abuse Control Commission. CICAD First Special Session. Washington, DC. December 2000. 26 pages.

This report provides a general overview of the drug abuse situation in the Western Hemisphere. It focuses on national strategies, demand and supply reduction efforts, and control measures for drug trafficking, firearms, and money laundering. Recommendations include increasing international cooperation, further development of law enforcement efforts, creating integrated data systems, and providing better treatment/rehabilitation structures.

Pearson, G., and Hobbs, D. *Middle Market Drug Distribution*. London, England: Home Office Research, Development and Statistics Directorate. 2001. 82 pages. <http://www.homeoffice.gov.uk/rds/pdfs/hors227.pdf>

This report describes how drugs are moved from importation to street level in the United Kingdom, by whom, and for what profit. The research is based on interviews with convicted drug traffickers and law enforcement representatives. The report argues that there are areas within the middle market where law enforcement agencies could disrupt the supply of drugs in a relatively efficient manner.

Reuter, P. Quantity illusions and paradoxes of drug interdiction: Federal interventions into vice policy. *Law and Contemporary Problems* 51(1):233–252, 1988.

This article examines how interdiction activities affect cocaine use in the United States and presents a framework to analyze the impact of enforcement programs on drug use. It argues

that price levels of illegal drugs should serve as a measure of enforcement effectiveness and presents data on the scale and effect of drug interdiction. Finally, using a simulation model, the article illustrates how increased interdiction may only have a slight effect on domestic cocaine consumption.

Sutton, A., and James, S. *Evaluation of Australian Drug Anti-Trafficking Law Enforcement*. Melbourne, Australia: University of Melbourne, Department of Criminology. 1996. 181 pages.

<http://www.acpr.gov.au/pdf/ACPR128.pdf>

This report examines ways to improve the accountability of drug law enforcement efforts in Australia. The authors argue that both intended and unintended consequences of enforcement must be considered. The report concludes that the fundamental shortcoming of Australian drug law enforcement is a failure to measure the effects of law enforcement on supply and consumption patterns. The report provides 21 recommendations to increase the rationality of drug law enforcement.

Weatherburn, D. *Performance Indicators for Drug Law Enforcement*. NSW Bureau of Crime Statistics and Research (48). February 2000. <http://www.lawlink.nsw.gov.au/bocsar1.nsf/pages/cjb48text>

This article reviews measures for drug enforcement in Australia. It reviews the distinctions between outputs and outcomes, and between performance measures and indicators. It also discusses the complex relationship between law enforcement effectiveness and different indicators for both outputs and outcomes.

Community Policing

Alpert, G.P., and Moore, M.H. Measuring Police Performance in the New Paradigm of Policing.

http://evaluationwebsite.org/bja/html/documents/measuring_police_performance_in_.htm

This article reviews traditional measures of police performance (crime rates, arrests, clearance rates, and response times) in light of the shift toward community-oriented policing. Major themes include building community relationships, attacking problems on a broader front, changing the focus and methods of police work, and changing internal relationships.

Blumstein, A. Measuring what matters in policing. In: *Measuring What Matters: Proceedings From the Policing Research Institute Meetings*. National Institute of Justice and the Office of Community Oriented Policing. 1999. 5 pages.

There are two primary challenges in measuring police performance: (1) identifying the variety of ways that police contribute to, or detract from, community well-being, and (2) partitioning both blame and credit between police and non-police factors. In addition to crime and arrest data, we should also measure fear of crime, civic disorder (e.g., broken windows), and citizen cooperation with the police.

Bratton, W.J. Great expectations: How higher expectations for police departments can lead to a decrease in crime. In: *Measuring What Matters: Proceedings From the Policing Research Institute Meetings*. National Institute of Justice and the Office of Community Oriented Policing. July 1999. 15 pages.

The primary focus of this paper is in implementing goal-orientation for law enforcement agencies. Two case studies are provided (New York Police Department and New York Transit Police). Non-law enforcement factors (e.g., demographics) in crime rates are discussed. Ultimately it is concluded that law enforcement practices moderate the relationship between non-enforcement factors and the crime rate.

Bureau of Justice Assistance. *Addressing Community Gang Problems: A Model for Problem Solving*. Office of Justice Programs, U.S. Department of Justice. January 1997. 48 pages.

The purpose of this monograph is to provide direction in identifying, analyzing, and responding to gang-related problems and assessing results in an effective way. The Comprehensive Gang Initiative model is based on the principles of adaptability, flexibility,

and a multifaceted approach. Gang problems can be solved with a comprehensive problemsolving model with four basic stages: scanning, analysis, response, and assessment.

Bynum, T.S. *Using Analysis for Problem-Solving: A Guidebook for Law Enforcement*. U.S. Department of Justice, Office of Community Oriented Policing Services. 59 pages.

This guidebook provides a starting point for conducting problem analysis in law enforcement based on the experience of agencies participating in COPS. The basics of problem analysis are covered along with means of gathering information, including traditional crime information, survey research, focus groups, interviews, environmental surveys, observations, and mapping.

Carter, D.L. *Community Policing and D.A.R.E.: A Practitioners Perspective*. BJA Bulletin. Washington DC: Bureau of Justice Assistance, U.S. Department of Justice, Community Policing Series. June 1995. 15 pages. <http://www.ncjrs.org/txtfiles/comdare.txt>

This article presents an overview and historical perspective for the COPS and D.A.R.E. programs.

Clawson, H.J., and Coolbaugh, K. The YouthARTS development program. *Office of Juvenile Justice and Delinquency Prevention Juvenile Justice Bulletin*. Washington, DC: Office of Justice Programs, U.S. Department of Justice. May 2001. 15 pages.

This article reviews YouthARTS programs in terms of their usefulness in preventing juvenile delinquency. A logic model is provided delineating immediate and intermediate outcomes, along with higher order impacts. Evaluation activities and findings are also presented.

Department of Education. *Safe and Drug Free Schools and Communities Act: Safe Grants for Drug and Violence Prevention Program, Nonregulatory Guidance for Implementing the SDFSCA Principles of Effectiveness*. Washington, DC: U.S. Department of Education, Office of Elementary and Secondary Education, Safe and Drug-Free Schools Program. 1998. 176 pages.

This guide to creating logic models reviews several principles in measuring program effectiveness. These include a thorough needs assessment, identifying measurable goals and objectives, creating effective research-based programs, and evaluation.

Department of Justice. *Evaluation of Boys and Girls Clubs in Public Housing*. National Institute of Justice Research Preview. October 1995. 2 pages. <http://www.ncjrs.org/pdffiles/boygirl.pdf>

This document reports on evaluation research of 15 projects and examines comprehensive medical programs, educational enhancement, and youth services. Recommendations for effective implementation are provided.

Department of Justice. *Youth Violence: A Community-Based Response—One City's Success Story*. National Criminal Justice Reference Service. September 1996. 23 pages. <http://www.ncjrs.org/txtfiles/boston.txt>

This report describes Boston's comprehensive strategy to reduce youth violence. The strategy includes prevention, intervention, and enforcement. The strategy relies on cooperation between local, state, and Federal Governments, community organizations, and local businesses. The report describes almost 30 different initiatives undertaken to reduce juvenile violence.

Duffee, D.E., Flullen, R., and Roscoe, T. Constituency building and urban community policing. In: *Measuring What Matters: Proceedings From the Policing Research Institute Meetings*. National Institute of Justice and the Office of Community Oriented Policing. July 1999. 28 pages.

This paper reviews new community policing strategies and introduces the concepts of constituency and social capital. Seven critical variables are delineated for building constituency in poor neighborhoods, and the paper sketches police strategies to build it.

Friedman, W., and Clark, M. Community policing: What is the community and what can it do? In: *Measuring What Matters: Proceedings From the Policing Research Institute Meetings*. National Institute of Justice and the Office of Community Oriented Policing. July 1999. 10 pages.

This paper reviews collaboration between communities and local police, emphasizing the role of active community and problem-oriented (rather than results-oriented) policing. It reviews community and police expectations, community roles, and quality-of-life issues. The paper also discusses building coalitions and organizing communities.

General Accounting Office. *Community Based Prevention: Comprehensive Evaluations of Efforts Are Needed*. Report to the Chairman, Select Committee on Narcotics Abuse and Control, U.S. House of Representatives (GAO/GGD-93-75). 1993. 42 pages. <http://161.203.16.4/t2pbat6/149076.pdf>

This testimony reports evidence that community-based prevention can influence adolescent drug use, and discusses challenges faced in increasing the effectiveness of community prevention. First, resources need to be maximized to create more community-based programs. Second, it must be determined which programs work under which conditions.

Harrell, A., Cavanagh, S., and Sridharan, S. *Evaluation of the Children at Risk Program: Results 1 Year After the End of the Program*. National Institute of Justice Research in Brief. Washington, DC: U.S. Department of Justice, Office of Justice Programs. November 1999. 12 pages.

This document reports on a quasi-experimental evaluation of the Children at Risk (CAR) drug and delinquency program. CAR participants experienced more positive activities (e.g., sports, school clubs, and community programs), fewer drug-related activities, and less association with delinquents as well as greater resistance to peer pressure.

Johnson, J., Farkas, S., Bers, A., Connolly, C., and Maldonado, Z. Americans' views on crime and law enforcement: A look at recent survey findings. In: *Measuring What Matters: Proceedings From the Policing Research Institute Meetings*. National Institute of Justice and the Office of Community Oriented Policing. July 1999. 8 pages.

Attitudes about police practices and crime rates are reviewed. Many people disagree with perceived police tactics (e.g., racial profiling, police violence), which leads to a gulf between the citizenry and law enforcement.

Kelling, G. Measuring what matters: A new way of thinking about crime and public order. In: *Measuring What Matters: Proceedings From the Policing Research Institute Meetings*. National Institute of Justice and the Office of Community Oriented Policing. July 1999. 9 pages.

This paper argues that formal measures of police work (i.e., crime and arrest rates) have little to do with community needs. Drawbacks to using these formal measures are discussed, particularly with regard to community policing. Several examples are given using experiences in New York City. As law enforcement doctrine changes, better service will be provided to the community.

Klockars, C.B. Some really cheap ways of measuring what matters. In: *Measuring What Matters: Proceedings From the Policing Research Institute Meetings*. National Institute of Justice and the Office of Community Oriented Policing. July 1999. 20 pages.

This article takes the position that traditional police statistics are poor measures of true levels of crime. Measurement implies three things: standardization, assigning numbers, and utility. The article provides suggestions for useful measures of police competence, skill, and integrity and discusses measurement obstacles.

Oettmeier, T.N., and Wycoff, M.A. Personnel performance evaluations in the community policing context. In G.P. Alpert and A. Piquero (eds.), *Community Policing: Contemporary Readings*. Prospect Heights, IL: Waveland Press, Inc. 1998. pp. 275–305.

This discussion of police performance evaluation in the context of community policing emphasizes the need to develop evaluations that accurately reflect the work police officers are expected to do and that the need to develop such evaluations is neither new nor unique to community policing.

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Ringwalt, C.L., Greene, J.M., Ennett, S.T., Iachan, R., Clayton, R.R., and Leukfeld, C.G. *Past and Future Directions of the D.A.R.E. Program: An Evaluation Review*. Washington, DC: Office of Justice Programs, National Institute of Justice, U.S. Department of Justice. (Award # 91-DD-CX-K053). 1994. 20 pages.

<http://www.druglibrary.org/schaffer/GovPubs/retri94.htm>

This evaluation study summarizes the D.A.R.E. program practices and conducts outcome evaluations. D.A.R.E. programs had the strongest effect on drug knowledge and on enhancing social skills. Smaller effects were found for attitudes about drugs and police and self-esteem. The only significant difference in actual drug use was for tobacco. Several methodological suggestions for future program evaluation are provided.

Roth, J.A., and Ryan, J.F. *National Evaluation of the COPS Program: Title I of the 1994 Crime Act*. Washington, DC: National Institute of Justice. August 2000. 289 pages. www.ncjrs.org/pdffiles1/nij/183643.pdf

This report provides an overview of the first 4 years of the COPS, including a logic model of the program (p. 3). The evaluation includes client satisfaction, levels of policing, transitions to community policing, and the effects on law enforcement innovation and crime.

Sherman, L.W. Evidence-based policing. In: *Ideas in American Policing*. Washington, DC: Police Foundation. July 1998. 15 pages. <http://www.policefoundation.org/pdf/Sherman.pdf>

This article advocates the use of evidence-based policing (i.e., the systematic observation of police actions and the outcomes of those actions). It describes ways of improving law enforcement by comparing the relative effectiveness of different strategies, and translating research findings into better police practices. The application of evidence-based policing is applied to three present policing paradigms: incident-specific policing, community policing, and problem-oriented policing.

Singh, D. *Community-oriented investigation at the North Miami Beach Police Department*. Practitioner Perspectives. U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance. April 2001. 8 pages. www.ncjrs.org/pdffiles1/bja/185367.pdf

This document tracks the initiation and development of community-based policing in the North Miami Beach Police Department. Community-based and problemsolving law enforcement required a culture change within the department. Modifications included the introduction of task forces, accountability, advanced technology, community input, collaboration, and involvement of local businesses. Means for overcoming resistance to change and implementing new outcome measures are also discussed.

Skogan, W.G. Measuring what matters: Crime, disorder and fear. In: *Measuring What Matters: Proceedings From the Policing Research Institute Meetings*. National Institute of Justice and the Office of Community Oriented Policing. July 1999. 16 pages.

This paper discusses measurement of the effects of innovative policing programs to establish a causal link between police efforts and outcomes. Different measures (including citizen crime reporting, official police records, survey measures of crime, disorder, fear of crime) have distinct advantages and drawbacks. Police-related measurement issues include police visibility, encounters between the public and police, and the quality of police service.

Stephens, D.W. Measuring what matters. In: *Measuring What Matters: Proceedings From the Policing Research Institute Meetings*. National Institute of Justice and the Office of Community Oriented Policing. July 1999. 10 pages.

This paper reviews strengths and weaknesses of several measures of law enforcement effectiveness: crime rates, disorder, and fear of crime. The effects of these factors on quality of life are discussed, along with a focus on neighborhoods.

Outcomes

Baumer, E., Lauristen, J.L., Rosenfeld, R., and Wright, R. The influence of crack cocaine on robbery, burglary and delinquency. *Journal of Research in Crime and Delinquency* 35(3):316–340, 1998.

This research report examines the impact of crack cocaine on crime rates for burglary, robbery, and homicide using a two-stage hierarchical linear model that decomposes between- and within-city variation in 142 cities. Results suggest that heavy crack cocaine involvement is associated with an increase in robbery rates and a decrease in burglary rates. Certain kinds of homicide also appear to result from increased crack cocaine use including drug-related homicides, felony homicides, firearm homicides, and juvenile homicides.

Baveja, A., Batta, R., Caulkins, J.P., and Karwan, M.H. Modeling the response of illicit drug markets to local enforcement. *Socio-Economic Planning Sciences* 27(2):73–89, 1993.

This article analyzes Caulkins' mathematical model to study the effect of focused enforcement on drug markets. Fixed and dynamic enforcement policies are considered. The findings suggest that drug dealing can effectively be controlled only if enforcement resources exceed a certain threshold level, and that the success of a crackdown may be lost quickly if care is not taken to prevent the drug market from returning.

Baveja, A., Caulkins, J.P., Wensheng, L., Batta, R., and Karwan, M.H. When haste makes sense: cracking down on street markets for illicit drugs. *Socio-Economic Planning Sciences* 31(4):293–306, 1997.

This paper presents an analytical approach to the tactical question: "What level of enforcement over time allows one to eliminate a street market for illicit drugs while expending the least possible total effort?" The analysis uses Caulkin's model to predict the rate of change of dealers as a function of enforcement level and several market parameters. The analysis suggests that using a strategy of maximum available intensity until the market has been eliminated minimizes the total enforcement effort required.

Blumstien, A. *Youth Violence*. In American Society of Criminology, ed., *Critical Criminal Justice Issues: Task Force Reports From the American Society of Criminology*. 1996. pp.15–22.

This paper explores the "diffusion hypothesis," which suggests that the increasing rate of juvenile homicides results from the adoption of behaviors endemic to the illicit drug industry. Specifically, it suggests that juveniles are increasingly carrying firearms and using them to settle disputes. The article suggests that additional means to reduce juvenile homicide include focusing on the distribution of illicit firearms in addition to illicit drugs and increasing demand reduction activities.

Blumstein, A. Violence by young people: Why the deadly nexus? *National Institute of Justice Journal* 229:2–9, 1995.

This article reviews the rise in juvenile violence coinciding with the rise of crack markets in the mid 1980s. It suggests that as guns become increasingly used in illicit drug markets, they become more prevalent in the community. Recommendations for reducing juvenile violent crime include proactive confiscation of guns from juveniles, attacking illicit firearm distribution, and increasing demand reduction efforts.

Blumstein, A. Youth violence, guns, and the illicit drug industry. *Journal of Criminal Law and Criminology* 86(1):10–36, 1995.

This article reviews the interrelationships between violence and illicit drugs. It summarizes trends in burglary, robbery, and murder rates with respect to demographic characteristics (race, age, sex). It also explores possible connections between drugs and crime.

Blumstein, A. U.S. criminal justice conundrum: Rising prison populations and stable crime rate. *Crime and Delinquency* 44(1):127–135, 1998.

This article explores the exponential rise in incarceration rates compared with relatively stable crime rates over the past 20 years. The rise in incarceration rates is largely fueled by

increased counterdrug law enforcement. The article also raises the possibility that increased counterdrug law enforcement may have counterproductive effects on crime rates.

Blumstein, A. Why is crime falling—Or is it? *Perspectives on Crime and Justice: 2000–2001 Lecture Series, Volume 5*. Washington DC: National Institute of Justice. 2002. 34 pages.

This paper discusses major factors that influence the crime rate. It explores reported robbery and murder trends and reviews several underlying factors including age differences, the role of weapons and drug markets, and incarceration rates.

Blumstein, A., and Heinz, H.J., III. Youth violence, guns, and illicit drug markets. *National Institute of Justice: Research Preview*. June, 1996. 4 pages.

This paper documents statistics showing that the homicide rate by juveniles doubled between 1985 and 1992, while overall crime rates fell. The authors suggest that the increase in juvenile violent crime is strongly related to the illicit drug market. Options to reduce juvenile violent crime include stricter firearm control for young people, increased study of the linkage between guns and drugs, and examination of the positive and negative effects of the war on drugs.

Blumstein, A., and Rosenfeld, R. Explaining recent trends in U.S. homicide rates. *Journal of Criminal Law and Criminology* 88(4):1175-1216, 1998.

This study reviews several factors in homicide trends including age, demographic composition, weapons, drug markets, incarceration effects, economic expansion, domestic assault, police programs, and community efforts.

Caulkins, J.P. Do drug prohibition and enforcement work? In: *What Works?* Lexington Institute. March 2000. 13 pages. <http://www.lexingtoninstitute.org/whatworks/whtwrks18.htm>.

This essay reviews key arguments concerning the efficacy of drug prohibition and enforcement. It explores the role of price as a result of law enforcement and as a predictor of drug use, and it argues that recent expansion in law enforcement has not had much of an effect on prices.

Caulkins, J.P. Domestic geographic variation in illicit drug prices. *Journal of Urban Economics* 37:38–56, 1995.

This article hypothesizes that illicit drug prices increase as one moves away from the source of those drugs and that illicit drug prices are negatively related to market size. Using data from the Middle Atlantic/Great Lakes Organized Crime Law Enforcement Network, the hypotheses are generally confirmed.

Caulkins, J.P. *Measurement and analysis of drug problems and drug control efforts*. In: Criminal Justice 2000. Vol. 4: Measurement and Analysis of Crime and Justice. 2000. pp. 391–449.

This essay is a progress report on the current state of the art in quantitative analysis of drug control intervention effectiveness. It explores the value and limitations of self-report surveys (NHSDA, MTF) and more objective measures (ADAM, DUF, DAWN, STRIDE). The essay provides a framework for understanding drug control effectiveness (p. 415).

Caulkins, J.P., Ebener, P.A., and McCaffrey, D.F. Describing DAWN's domain. *Contemporary Drug Problems* 25(3):547-567, 1995.

This paper seeks to clarify the purposes for which DAWN data are and are not well suited. It begins by describing DAWN and discussing implications of interpretations of the sampling and data collection procedures. Advisability of methods for applying the DAWN estimates are presented.

Caulkins, J.P., Johnson, B., Taylor, A., and Taylor, L. What drug dealers tell us about their costs of doing business. *Journal of Drug Issues* 29(2):323–340, 1999.

This article reports differences in methods of sale and distribution of drugs by dealers in New York City and the differences in earnings by method. Entrepreneurs, independent

consignment sellers, fixed-spot consignment sellers and sellers who are paid hourly retain different proportions of the selling cost. These differences have significant implications for the relative ability of enforcement against the sellers and their selling spots to drive up drug prices and suppress drug use.

Caulkins, J.P., and Reuter, P. What price data tell us about drug markets. *Journal of Drug Issues* 28(3):593–612, 1998.

This paper reviews empirical evidence on drug prices and discusses implications for understanding of drug markets and for policy. The discussion covers data on price levels, data on price variation, evidence on how policies affect prices, and evidence on how prices affect outcomes of interest. Conclusions are mixed with respect to the ability of policy to influence prices.

Cowles, E.L., Gransky, L.A., Patterson, M., and Hagner, P. *Evaluation of Illinois' Case Transaction Reporting Units and Drug Conspiracy Task Forces*. Chicago: Illinois Criminal Justice Information Authority. 1998. 279 pages.

The report presents the methodology and findings of an evaluation of the drug law enforcement effort in Illinois, including the Cash Transaction Reporting Unit (CTRU) and the Drug Conspiracy Task Force (DCTF). The CTRU was designed to collect, store, and analyze cash transaction data to identify people involved in drug-related money laundering. The DCTF was designed to enhance the prosecution of mid-level drug dealers. The report recommends that units reassess their operations on three dimensions: communications, roles, and internal/external relationships. It also recommends that information management needs to be examined in terms of data collection/retention, quality, and accessibility.

Crane, M.D., Rivolo, A.R., and Comfort, G.C. *An Empirical Examination of Counterdrug Program Effectiveness*. Alexandria, VA: Institute for Defense Analysis. 1997.

This study combines time-series data on cocaine process (from STRIDE) and consumption in the United States with a narrative description of contemporaneous interdiction events to assess the cost-effectiveness of interdiction activities in reducing cocaine consumption. The study found that interdiction events raised the street price of cocaine by 60 percent, which resulted in a 30 percent reduction in the amount of cocaine demand, but price increases were short-lived. The study concludes that cocaine consumption falls by about .015 percent for every million dollars spent on interdiction activities.

Department of Justice. *Fact Sheet: Drug-Related Crime* (NCJ-149286). Drugs and Crime Data, Office of Justice Programs, Bureau of Justice Statistics. September 1994. 5 pages.

This fact sheet reviews different aspects of drug-related crime. It explores drug use among criminals, the prevalence of crimes being committed while under the influence of drugs, crime to support a drug habit, and violent crime resulting from drug trafficking. It also explores the empirical difficulty in demonstrating a causal link between drugs and crime.

Department of Justice. *Comprehensive Communities Program: A Unique Way to Reduce Crime and Enhance Public Safety*. Bureau of Justice Assistance Fact Sheet. December 2000. 3 pages.

This fact sheet reviews the Comprehensive Communities Program (CCP), which consists of community policing and community mobilization. The program is based on partnerships between law enforcement agencies, community groups, and private organizations. Using CCP, several communities have reduced crime, improved the quality of life, and improved service delivery.

Dorn, N. Performance management, indicators and drug enforcement: In the crossfire or at the crossroads? In: M. Natarajan and M. Hough, eds. *Illegal Drug Markets: From Research to Prevention Policy*. Monsey, NY: Criminal Justice Press. 2000. pp. 299–318.

This chapter argues that performance measures are very important in measuring the effectiveness of drug enforcement agencies. Also discussed are challenges in improving the

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interpretability of established measures (e.g., drug arrests, drug seizures) and evaluating emerging measures (e.g., disruption, market-related harms, and enforcement-related harms).

Ducharme, L., and Ball, J. *Major Drugs of Abuse in ER Visits, 2000*. The DAWN Report. Arlington, VA: Office of Applied Studies, Substance Abuse and Mental Health Services Administration. July 2001. 3 pages. <http://www.samhsa.gov/oas/majorDAWN.pdf>

This report lists the number of drug-related emergency room visits in 21 major metropolitan areas of the United States. It lists the number of emergency room visits for each of four illegal drugs: cocaine, heroin, marijuana, and methamphetamine/speed. The results are provided by drug and location, so rates of emergency room visits for different drugs may be compared geographically.

Ebener, P.A., Feldman, E., and Fitzgerald, N. *Federal Databases for Use in Drug Policy Research: A Catalogue for Data Users*. Santa Monica, CA: RAND Drug Policy Research Center. 1993. 178 pages.

This data directory lists and describes the characteristics of 29 federally funded databases. Five categories are surveyed: drug use, other social surveys, substance abuse treatment, health, and law enforcement.

Frank, R.S. Drugs of Abuse: Data collection systems of DEA and recent trends. *Journal of Analytic Toxicology* 11:237–241, 1987.

This article reviews drug use measures used by the DEA. It covers the major objectives, type of data, limitations, and uses of DAWN and STRIDE.

General Accounting Office. *Drug Use Measurement: Strengths, Limitations and Recommendations for Improvement*. Testimony before the Subcommittee on Legislation and National Security, Committee on Government Relations, House of Representatives. (GAO/T-OEMD-94-4). 1993. 7 pages.

<http://www.druglibrary.org/schaffer/GovPubs/gao/gao5.htm>

This testimony describes strengths and weaknesses of several drug use measures (NHSDA, High School Senior Survey, and DUF). It documents observed changes in drug use using each measure. Drawbacks include self-report accuracy, imputation problems, and sampling issues. Recommendations for improvement include the following: change the frequency of administration, validate self-report accuracy (e.g., with hair follicle tests), change the sample strategy, and develop new methods for studying high-risk groups.

General Accounting Office. *Emerging Drug Problems: Despite Changes in Detection and Response Capability, Concerns Remain*. Report to the Honorable Daniel Patrick Moynihan and the Honorable James M. Jeffords, U.S. Senate. (GAO/HEHS-98-130). 1998. 37 pages. <http://www.gao.gov/archive/1998/he98130.pdf>

This report (1) describes how public service agencies have detected and responded to the crack cocaine epidemic, (2) identifies changes to improve drug detection and response capability, and (3) identifies issues that could compromise the ability to detect and respond to emerging drug problems. Drug detection mechanisms include the NHSDA, MTF, DAWN, and CEWG). Limitations of each measure are reviewed, as are improvements designed to address the limitations. Improvements in drug detection and response include the Pulse Check telephone survey and departmental reorganization.

Gore 2000. *Al Gore's Rural Anti-Crime Initiative: Making America's Rural Families Safer*. Gore 2000 Fact Sheet. July 14, 1999. 4 pages.

http://b75.upb.pitt.edu/election2000/07042000/www.algore2000.com/agenda/rural_crime_agenda.html.

This candidate position piece contains policy recommendations for protecting rural areas from crime. Suggestions include doubling the number of HIDTAs to crack down on methamphetamine labs and providing grants and additional law enforcement to high-crime rural communities.

Graghani, A., Rinaldi, S., and Feichtinger, G. Dynamics of drug consumption: a theoretical model. *Socio-Economic Planning Sciences* 31(2):127–137, 1997.

This article proposes a continuous time model to quantitatively interpret the dynamics of drug consumption in a given country. The model uses a minimal structure with two state variables (addicts and dealers) and 13 parameters. Results have been obtained on the role played by price of the drug, the severity of the punishment inflicted on dealers, and the allocation of the effort between treatment and police enforcement.

Haaga, J, Reuter, P. *Improving Data for Federal Drug Policy Decisions*. Santa Monica, CA: RAND Drug Policy Research Center. 1991. 21 pages.

This report summarizes the recommendations of a council of nongovernmental researchers to improve the quality of data available for drug-policy decisions. Suggestions for measuring drug use include slight alterations to the NHSDA and DUF and additional analysis of the data. Recommendations for measuring the effects of law enforcement are also made.

Harrison, L.D. *The Nature and Extent of Marijuana Use in the United States*. Amsterdam, The Netherlands: Centrum voor Drugsonderzoek, Universeit van Amsterdam. <http://www.cedro-uva.org/lib/harrison.cannabis.html>

This report draws upon several measures (NHSDA, MTF, DAWN, NDATUS, DUF) to estimate trends in marijuana use. Use demographics are tabulated for several variables including age, race/ethnicity, gender, regional variation, and population density. Other variables include frequency of marijuana use, other drug use, dependence, age-at-onset, perceived availability, and perceived risk of harm.

Hebert, E.E. Drug market analysis: NIJ's drug market analysis program. *National Institute of Justice Journal* (226):2–7, 1993.

This article describes the Drug Market Analysis Program in several locations (Jersey City, Kansas City, San Diego, Pittsburgh, and Hartford). The program combines police operations, computer technology, and evaluation to provide location-specific information about street-level drug trafficking and associated crime.

Homer, J.B. A system dynamics model for cocaine prevalence estimation and trend projection. *The Journal of Drug Issues* 23(2):251–279, 1993.

This article reviews a dynamic simulation model that reproduces a variety of national indicator data reflecting cocaine use and supply over a 15-year period. It summarizes data from NHSDA, DAWN, DUF, UCR, OBTS, and STRIDE.

Homer, J.B. Protecting the impact of law enforcement on cocaine prevalence: A system dynamics approach. *The Journal of Drug Issues* 23(2):281–295, 1993.

Using a systems dynamics model, the author estimates cocaine use under different conditions of law enforcement (e.g., limiting drug seizures or possessions arrests). The model suggests that elimination of drug seizures would not increase usage or incarcerations, and reducing arrests would reduce the criminal justice system's load and lead to two or three times more use. Eliminating both seizures and arrests would eliminate the burden on the criminal justice system and lead to between a fourfold and eightfold increase in usage.

Kleinman, M. The Problem of Replacement and the Logic of Drug Law Enforcement. *The FAS Drug Policy Analysis Bulletin* 3. 1997.

This article draws a distinction between predatory crime (e.g., assault, burglary, robbery) and transactional crime (i.e., illicit drug sales). Law enforcement agencies usually measure outputs in terms of number of arrests, which presumably operated by both incapacitation and deterrence. This article explores the economic logic of drug markets and argues that current law enforcement strategies do not have the desired effects on transactional crimes. Kleinman concludes that law enforcement efforts should be judged in terms of drug market outcomes (price, availability, violence, and disorder) rather than by outputs (i.e., arrests).

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Lindgren, S.A., and Zawitz, M.W. *Linking Uniform Crime Reporting Data to Other Datasets*. Bureau of Justice Statistics Technical Report. May 2001. 9 pages.

This technical report describes a crosswalk designed to link the FBI's UCR with the Directory of Law Enforcement Agencies file (containing a complete census of police and sheriffs' departments), the Census Bureau's Governments Integrated Directory, and a number of other data sets. This crosswalk facilitates criminal justice research because it allows more detailed crime mapping and analysis of multiple datasets.

MacCoun, R., Reuter, P., and Schelling, T. Assessing Alternative Drug Control Regimes. *Journal of Policy Analysis and Management* 15(3):330–352, 1996.

This article discusses alternative regimes for controlling illicit drug use that lie between the extremes of harsh prohibition and sweeping legalization. It sketches a multidimensional matrix framework for assessing substance characteristics and their bearers and sources of potential harms. The authors hope to promote greater attention to incremental policy interventions.

Mahoney, B., Beaudin, B.D., Carver, J.A., Ryan, D.B., and Hoffman, R.B. *Pretrial Services Programs: Responsibilities and Potential*. National Institute of Justice Issues and Practices (NCJ 181939). 2001. 115 pages.

This booklet presents concepts of pretrial services programs based on operational programs developed over the past 15 years. Key program elements, optional services provided, and performance measures used to determine continuing program effectiveness are summarized. The report addresses policy issues in addition to operational practices.

Mastrofski, S.D., Parks, R.B., Reiss, A.J., Jr., Worden, R.E., DeLong, C., Snipes, J.B., and Terrill, W. *Systematic Observation of Public Police: Applying Field Research Methods to Policy Issues*. National Institute of Justice Research Report. Washington, DC: U.S. Department of Justice, Office of Justice Programs. December 1998. 44 pages. <http://www.ncjrs.org/pdffiles/172859.pdf>

This report describes Systematic Social Observation as a sociological field research method used to study police. It offers a broad scope and depth of data that are usually unavailable through official records and survey questionnaires. It is also costly and time-consuming, and it requires highly trained observers and the cooperation of the research participants.

Moore, M.H. Supply reduction and drug law enforcement. In: M. Torny and J.Q. Wilson, eds. *Drugs and Crime From Crime and Justice*, 13. Chicago, IL: University of Chicago. 1990. pp. 109–157.

This article discusses law-enforcement efforts to control the drug supply to illicit markets in the United States. Efforts must be evaluated from three perspectives: their efficacy in reducing drug availability, their impact on the wealth and power of ongoing criminal organizations, and their impact on the foreign-policy objectives of the Federal Government. The success of each evaluation perspective is discussed.

Moskowitz, J.M. Why reports of outcome evaluations are often biased or uninterpretable: Examples from evaluations of drug abuse programs. *Evaluation and Program Planning* 16:1–9, 1993.

This paper examines why the conclusions of many outcome evaluations fail to provide validity and reliability measures, descriptions of methodology, and justification of results. The authors argue that social-structural problems influencing the design and implementation of the research are more to blame for the research quality than factors such as limited means or resources. Institutional and academic pressures and constraints that undermine evaluation studies are described.

Office of Management and Budget. *Instructions for the Program Assessment Ratings Tools*. BPM852, Attachment B, Addendum 1. Internal document. April 18, 2002.

This document defines Program Assessment Rating Tools (PARTs) as a series of questions designed to provide a consistent approach to rating programs across the Federal government. The formal evaluation of performance evaluation through this process is intended to develop defensible and consistent ratings of programs for the FY 2004 budget and beyond. The

document provides guidelines and instructions for designing PARTs evaluations in six types of programs: competitive grant programs, block/formula grant programs, regulatory-based programs, capital assets and service acquisition programs, credit programs, and direct Federal programs. Research and development programs will not be included in this process in the spring review.

Office of National Drug Control Policy. *Pulse Check: National Trends in Drug Abuse*. Spring 1996. 11 pages. http://www.ncjrs.org/txtfiles/p_6spuls.txt

This report documents drug use in the United States through three sources: ethnographers, police sources, and treatment providers. Usage is estimated for heroin, cocaine, marijuana, and emerging drugs (e.g., methamphetamine, Rohypnol, and ephedrine), with a special section on Ecstasy and other club drugs.

Office of National Drug Control Policy. *Pulse Check: National Trends in Drug Abuse, January–June 2001 Reporting Period*. 2001
<http://www.whitehousedrugpolicy.gov/publications/drugfact/pulsechk/fall2001/fall2001.pdf>

This report documents drug use in the United States through three sources: ethnographers, police sources, and treatment providers. Usage is estimated for heroin, cocaine, marijuana, and emerging drugs (e.g., methamphetamine, Rohypnol, and ephedrine), with a special section on synthetic opioids.

Office of National Drug Control Policy. *The Price of Illicit Drugs: 1981 Through the Second Quarter of 2000. October 2001*. 107 pages.

Trends in drug prices and purity are an essential part of understanding our country's drug trends. This report documents trends in drug prices for cocaine, heroin, methamphetamine, and marijuana at several purchase levels (small user, large user, mid-level distributor, and wholesale distributor). Purity is also estimated for heroin, cocaine, and methamphetamine. Appendices list price and purity breakdowns by quarter, year, and metropolitan area for the past 20 years.

Reaves, B.A., and Hickman, M.J. *Police Departments in Large Cities, 1990-2000*. Bureau of Justice Statistics Special Report (NCJ 175703). Washington, DC: U.S. Department of Justice, Office of Justice Programs. May 2002. 16 pages. <http://www.ojp.usdoj.gov/bjs/pub/ascii/pdlc00.txt>

This report tracks changes in different types of crime and law enforcement practices between 1990 and 2000 for local police departments serving cities with populations greater than 250,000. Crime-related variables, drawn from the UCR, include violent and property crime. Law enforcement variables, drawn from the Law Enforcement Management and Administrative Statistics, include staffing levels, police race and ethnicity, officer education and training requirements, operating budgets, salaries, types of special units, drug enforcement activities, equipment (sidearm, armor, and vehicles), and computerization.

Reuter, P. Prevalence estimation and policy formulation. *The Journal of Drug Issues* 23(2):167–184, 1993.

This article presents prevalence estimation as an underused tool for drug policy decision making. The role of drug use estimation in determining allocation of resources and evaluation of policy or program choices is discussed. It is concluded that the relationship between policy and prevalence is most important at the local level, where the services are delivered.

Reuter, P. Are calculations of the economic costs of drug abuse either possible or useful? *Addiction* 94(5):635–638, 1999.

This commentary argues that estimates of the economic costs of drug abuse, such as those reported by the United States, Canada, Britain, and Australia, are subject to enormous uncertainty and offer limited value to policymakers. Conceptual ambiguities and empirical limitations inherent in these studies are not resolvable in the foreseeable future. The author believes that policy objectives served by these estimates would be better met by research estimating the impacts of policy changes.

Reuter, P., and Kleinmen, M.A.R. Risks and prices: An economic analysis of drug enforcement. In: M. Torny and N. Morris, eds. *Crime and Justice*, 7. Chicago, IL: University of Chicago Press. 1986. pp. 289–340.

Marijuana and cocaine have been the object of a major Federal campaign over the past 5 years. While contributing to the relatively high prices of these two drugs, enforcement efforts have not significantly reduced their availability. Factors affecting supply and reduced availability are discussed.

Roberts, C.D. Data Quality of the Drug Abuse Warning Network. *American Journal of Drug and Alcohol Abuse* 22 (3):389–401, 1996.

This article presents data from quality assurance studies that were conducted at 36 sites to assess the quality of data collected by DAWN. Investigators found underreporting of cases meeting DAWN case definition criteria as well as discrepancies between reported and actual cases. An average of 2.3 errors per form were detected. Users are cautioned that estimates may be unreliable and that estimation of trends may be risky.

Rosenfeld, R., and Decker, S.H. Are arrest statistics a valid measure of illicit drug use? The relationship between criminal justice and public health indicators of cocaine, heroin and marijuana use. *Justice Quarterly* 16(3):685–699, 1999.

This research article examines correlations between drug arrests, DAWN-ME, DAWN-ER, and DUF. The study found profound convergence among the four measures for cocaine and opiate use, but not for marijuana. The articles conclude that despite criticism of arrest data to measure drug use, it is a valid and reliable measure of opiate and cocaine use.

Roth, J.A. Psychoactive substances and violence. *Understanding and Preventing Violence*. Research in Brief. Washington, DC: U.S. Department of Justice. February 1994. 19 pages.

<http://www.pdxnorml.org/violence.html>

This article reviews the relationship between drug use and violence. It examines alternate explanations of violence and drug use. It concludes that alcohol can have a direct contributory effect on aggression, while the effects of illicit drugs on violence occur primarily through drug marketing.

Scalia, J. *Federal Drug Offenders, 1999 with Trends 1984-1999*. Bureau of Justice Statistics Special Report. Washington, DC: U.S. Department of Justice, Office of Justice Programs (NCJ 187285). August, 2001. 12 pages.

This report provides detailed statistics about drug offenders in the Federal Criminal Justice System. It includes information on the number of defendants charged and convicted, and their demographics. It also tracks changes in the rates of investigations, prosecutions, and prison sentences over a 15-year period.

Schmidt, G. *Drug Data Summary*. ONDCP Drug Policy Information Clearinghouse Fact Sheet. Rockville, MD: Office of National Drug Control Policy, Drug Policy Information Clearinghouse. 1999. 6 pages.

This fact sheet summarizes current drug-related law enforcement, court, and corrections statistics, as well as information on drug use, drug production, and spending on drug control. Data are based on the 1997 NHSDA.

Simeone, R.S., Nottingham, W.T., and Holland, L. Estimating the size of a heroin-using population: An examination of the use of treatment admissions data. *The International Journal of the Addictions* 28(2):107–128, 1993.

This article tests several methods of estimating the size of the heroin-using population using actual treatment admissions data. It concludes that neither capture-recapture nor truncated Poisson models are appropriate. Also, the application of a cohort model is unlikely to be accurate given the information requirements and the current limitations in treatment admissions data.

Simeone, R.S., Rhodes, W.M., and Hunt, D.E. A plan for estimating the number of “hardcore” drug users in the United States. *The International Journal of the Addictions* 30(6):637–657, 1995.

This article describes a model-based program of research that would allow estimation of the size, characteristics, and geographic distribution of “hardcore” drug users in the United States over time. It involves a three-stage sampling process with primary data gathered through a drug use screen and a life history interview. Secondary data include local and national administrative records.

Southeast Comprehensive Assistance Center. *Selected Substance Abuse Data Indicators*. Metairie, LA: Southeast Comprehensive Assistance Center. 1997. 27 pages. <http://www.sedl.org/secac/drug97.pdf>

The intent of this compilation is to provide a resource summarizing the most common sources of substance abuse data. It summarizes the results of “Monitoring the Future” (1997), Youth Risk Behavior Surveillance System (1995), the National Household Drug Survey (1996), the Drug Abuse Warning Network (1996), and the Partnership for a Drug-Free America Survey (1996).

Substance Abuse and Mental Health Services Administration. *Annual Emergency Department Data 1997: Data from the Drug Abuse Warning Network*. Rockville, MD: Office of Applied Studies Drug Abuse Warning Network Series D-9. 1999. 149 pages.

This report presents estimates of ER drug abuse episodes that occurred in 1997 throughout the United States and in 21 metropolitan areas. The estimates are based on data reported to SAMHSA through the DAWN. The data were obtained from a statistical sample of hospitals and are weighted to be representative of all such episodes that occurred in 24-hour, short-stay, non-Federal hospitals.

Substance Abuse and Mental Health Services Administration. *National Household Survey on Drug Abuse: Population Estimates 1998*. Rockville, MD: Office of Applied Studies NHSDA Series H-9, 1999. 126 pages.

This report provides data on substance use prevalence measures for 1998. Estimates presented in this report are based on a questionnaire and estimation methodology introduced in 1994 and continued through 1998. Detailed explanations of the application of this estimation methodology are presented.

Substance Abuse and Mental Health Services Administration. *Club Drugs*. The DAWN Report. Arlington, VA: Office of Applied Studies, Substance Abuse and Mental Health Services. December 2000. 10 pages. <http://www.samhsa.gov/oas/clubdrug.pdf>

This report tracks club drug usage reports by emergency room visits and medical examiners of club drug usage. Annual totals are provided for mentions of methamphetamine, LSD, GHB, MDMA, Ketamine, and Rohypnol for the period between 1994 and 1999. It also provides cross-tabulations for drug combinations, age, and race/ethnicity.

Substance Abuse and Mental Health Services Administration. *Amphetamine Treatment Admissions Increase: 1993-1999*. The DASIS Report. Arlington, VA: Office of Applied Studies, Substance Abuse and Mental Health Services Administration. November 2001. 3 pages. <http://www.samhsa.gov/oas/facts/Speed.pdf>

This report tracks drug treatment admission rates for amphetamine addiction using the TEDS for publicly funded drug treatment. It tracks geographical trends in amphetamine (primarily methamphetamine) treatment, noting increases in treatment over time for each reporting state.

Substance Abuse and Mental Health Services Administration. *Trends in Initiation of Substance Abuse*. Summary of findings from the 2000 National Household Survey on Drug Abuse. Rockville, MD: Office of Applied Studies, NHSDA Series H-13, DHHS Publication No. (SMA) 01-3549. 2001. pp. 43–50.

This report summarizes data from the 2000 NHSDA on the prevalence and incidence of drug, alcohol, and tobacco use in the United States for the population 12 years old and older in 1999 and 2000. This chapter provides information on initiation of use.

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Substance Abuse and Mental Health Services Administration. *Mid-year 2000 preliminary emergency department data from the Drug Abuse Warning Network*. Rockville, MD: Office of Applied Studies DAWN Series D-17. 2001. 103 pages.

This report presents information on drug-related emergency room episodes collected through the DAWN through June of 2000. The DAWN is a national probability survey of hospitals with emergency departments conducted annually by the SAMHSA. The survey captures data on emergency room episodes that are induced by or related to the use of an illegal drug or the nonmedical use of a legal drug. Final estimates for full years from 1992 through 1999 are provided for reference.

Substance Abuse and Mental Health Services Administration. *Polydrug Use Among Treatment Admissions*. The DASIS Report. Arlington, VA: Office of Applied Studies, Substance Abuse and Mental Health Services Administration. October 2001. 3 pages. <http://www.samhsa.gov/oas/polydrugTX.pdf>

This report summarizes admissions to publicly funded substance treatment centers for people reporting using more than one substance. It summarizes treatment admissions by age and by primary and secondary drugs (alcohol, cocaine, marijuana, opiates).

Substance Abuse and Mental Health Services Administration. *Cocaine Treatment Admissions Decrease*. The DASIS Report. Arlington, VA: Office of Applied Studies, Substance Abuse and Mental Health Services Administration. January 2002. 3 pages. <http://www.samhsa.gov/oas/facts/CocaineTX.pdf>

This report tracks admissions to cocaine treatment centers. It reports admission rates by state for 1993, 1996, and 1999, and summarizes changes in admissions over time.

Substance Abuse and Mental Health Services Administration. *Heroin Treatment Admissions Increase: 1993-1999*. The DASIS Report. Arlington, VA: Office of Applied Studies, Substance Abuse and Mental Health Services Administration. January 2002. 3 pages. <http://www.samhsa.gov/oas/2k2/HeroinTX.pdf>

This report tracks admission rates for heroin addiction using the TEDS for publicly funded drug treatment. It tracks geographical trends in heroin treatment, noting increases in heroin treatment over time for each reporting state.

Substance Abuse and Mental Health Services Administration. *Heroin Treatment Admissions in Urban and Rural Areas*. The DASIS Report. Arlington, VA: Office of Applied Studies, Substance Abuse and Mental Health Services Administration. June 2002. 3 pages. <http://www.samhsa.gov/oas/2k2/HeroinTX/heroinTX.pdf>

This report tracks admission rates for heroin addiction using the TEDS for publicly funded drug treatment. It concludes that heroin treatment is more prevalent with increasing urbanization and that treatment rates have increased over time (1993, 1996, 1999).

Substance Abuse and Mental Health Services Administration. *Marijuana Treatment Admissions Increase: 1993-1999*. The DASIS Report. Arlington, VA: Office of Applied Studies, Substance Abuse and Mental Health Services Administration. January 2002. 3 pages. <http://www.samhsa.gov/oas/2k2/MJtx.pdf>

This report tracks admission rates for marijuana abuse using the TEDS for publicly funded drug treatment. It tracks geographical trends in treatment, noting increases over time for each reporting state.

Substance Abuse and Mental Health Services Administration. *Neighborhood Characteristics and Youth Marijuana Use*. The NHSDA Report. Arlington, VA: Office of Applied Studies, Substance Abuse and Mental Health Services Administration. January 2002. 3 pages. <http://www.samhsa.gov/oas/facts/Neighbor.pdf>

This report tracks marijuana use and neighborhood characteristics among youth ages 12 to 17. The neighborhood predictors included crime, prevalence of drug selling, street fights, abandoned buildings, and graffiti. The strongest links with youth marijuana use were found for neighborhoods with high levels of drug selling and street fights.

Underleider, J.T. Lundberg, G.D. Sunshine, I., and Walberg, C.B. The Drug Abuse Warning Network (DAWN) Program: Toxicologic Verification of 1,008 Emergency Room 'Mentions.' *Archives of General Psychiatry* 37(1):106–109, 1980.

This article describes data on DAWN emergency room patient records from the Los Angeles County/University of Southern California Medical Center collected in 1977. Patients' self-

reported drug use was compared with available toxicology laboratory reports to test the validity of data reported to DAWN. Self-reports were verified in 20 percent of the sample. Eleven percent were incorrect and 69 percent were partially correct or incorrect. The study suggests that reliability of DAWN reports be tested further.

General Strategic Planning/GPRA

Berry, F.S. Innovation in public management: The adoption of strategic planning. *Public Administration Review* 54(4):322–330, 1994.

This research article reviews the conditions under which state agencies are likely to adopt strategic planning. Factors found to be related to the adoption of strategic planning include election cycles (strategic planning is more frequently adopted when state administrations change); conditions of strong fiscal health, when government agencies work closely with private sector business; and the adoption by neighboring states of strategic plans (as in benchmarking). Differences between policy and administrative innovation are discussed.

Carroll, J.D. The rhetoric of reform and political reality in the National Performance Review. *Public Administration Review* 55(3):302–312, 1995.

The National Performance Review (NPR) changes the focus from how government works to what government does. This article assesses the strengths and weaknesses of NPR using several different evaluation frameworks (e.g., executive leadership, interest groups, public service, policy, and constitutional).

General Accounting Office. *Managing for Results: Analytic Challenges in Measuring Performance*. Report to Congressional Committees (GAO/GGD/AIMD-97-138). May 1997. 44 pages.

This report surveyed Federal agencies that were beginning to implement performance measurements early to satisfy GPRA requirements. Identifying goals and developing performance measures was reported to be the most challenging part of the process. Respondents found it difficult to move beyond summaries of activities to distinguish desired outcomes or results.

General Accounting Office. *Managing for Results: Agencies' Annual Performance Plans Can Help Address Strategic Goals*. Report to Congressional Requesters (GAO/GGD-98-44). January 1998. 143 pages. <http://www.gao.gov/archive/1998/gg98044.pdf>

This document reports improvements in Federal agencies' performance plans to satisfy GPRA requirements. There were three primary challenges: setting a strategic direction, coordinating crosscutting programs, and adequately defining performance and cost data.

General Accounting Office. *Managing for Results: An Agenda to Improve the Usefulness of Agencies' Annual Performance Plans*. Report to Congressional Requesters (GAO/GGD/AIMD-98-228). September 1998. 48 pages. <http://www.gao.gov/archive/1998/g198228.pdf>

This report calls for improvements in Federal agencies' annual performance plans to comply with GPRA. Major weaknesses included a lack of a clear picture of intended performance, insufficient relationships between strategies and resources with performance, and insufficient performance measures.

General Accounting Office. *Managing for Results: Opportunities for Continued Improvements in Agencies' Performance Plans*. Report to Congressional Requesters (GAO/GGD/AIMD-99-215). July 1999. 124 pages. <http://www.gao.gov/archive/1999/g199215.pdf>

This report provides a broad overview of Federal agencies' performance plans, noting major strengths and key weaknesses' of performance plans. Progress has been made between FY 1999 and FY 2000 in defining goals and issues that addressed program results.

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General Accounting Office. *Program Evaluation: Studies Helped Agencies Measure or Explain Program Performance*. Report to Congressional Committees (GAS/GGD-00-204). September 2000. 31 pages.

[http://frwebgate.access.gpo.gov/cgi-](http://frwebgate.access.gpo.gov/cgi-bin/useftp.cgi?IPaddress=162.140.64.21&filename=gg00204.pdf&directory=/diskb/wais/data/gao)

[bin/useftp.cgi?IPaddress=162.140.64.21&filename=gg00204.pdf&directory=/diskb/wais/data/gao](http://frwebgate.access.gpo.gov/cgi-bin/useftp.cgi?IPaddress=162.140.64.21&filename=gg00204.pdf&directory=/diskb/wais/data/gao)

This report discusses the different ways evaluation studies were used in FY 1999. Two general purposes were served by evaluation studies: improving performance measurement and understanding how to improve performance.

General Accounting Office. *Managing for Results: State Experiences Provide Insight for Federal Management Reforms*. Report to Congressional Requesters (GAO/GGD-95-22). 1994. 28 pages.

<http://archive.gao.gov/t2pbat2/153046.pdf>

This report examines state-level experiences with implementing management reforms. Strategic management, performance measurement systems, and alignment of management systems were examined for their similarity to GPRA requirements on the Federal level. States surveyed include Florida, Minnesota, North Carolina, Oregon, Texas, and Virginia.

Harrell, A. *Evaluation Strategies for Human Service Programs: A Guide for Policymakers and Providers*. Washington, DC: The Urban Institute. 25 pages.

http://www.bja.evaluationwebsite.org/html/documents/evaluation_strategies.html.

This paper lays out the basic principles of program evaluation design, citing common pitfalls, challenges, and constraints, and presents ideas for resolving potential problems. A comprehensive evaluation will include four basic elements: impact evaluations, performance monitoring, process evaluations, and cost evaluations. Logic models, including program descriptions, intended outputs, and intended outcomes, are discussed. The article gives different strategies for evaluating each of the four basic elements, including experimental, quasi-experimental, and non-experimental designs.

Harvard University, Kennedy School of Government, Executive Session on Public Sector Performance Management. *Get Results Through Performance Management*. 37 pages.

This memo to new government executives advocates the use of performance measures to aid management in the public sector. Performance measures communicate standards, motivate staff, lead to insight, and strengthen democracy. Ten traits of effective performance management systems are listed and described.

Henderson, L.J., Jr. GPRA: Mission, metrics, meaning, and marketing. *The Public Manager*. Spring 1995. pp. 7–10.

This article discusses five challenges to GPRA, including successful implementation, managing the process, determining the appropriate metrics, deriving useful meaning from the measures, and using results for formative evaluation.

Henry, G.T., and Dickey, K.C. Implementing performance monitoring: A research and development approach. *Public Administration Review* 53(3):203–212, 1993.

This article describes the use of a research and development model to create an effective performance monitoring system in education reform. Also discussed are details on implementation, and limitations and risks of performance monitoring.

Kimm, V.J. GPRA: Early implementation. *The Public Manager*. Spring 1995. pp. 11–14.

This article reports the findings of a symposium regarding early implementation of GPRA. The symposium consisted of academics and practitioners. The report covers basic GPRA requirements, what is working, persistent obstacles, and problem areas for the future.

Kravchuk, R.S. & Schack, R.W. Designing effective performance-measurement systems under the Government Performance and Results Act of 1993. *Public Administration Review* 56(4):348–358, 1996.

This article outlines the challenges in measuring performance for program evaluation (both formative and summative). Limitations and potential drawbacks of performance measurement

are delineated. Using a general systems theory paradigm, the authors present 10 general principles for effective performance measurement systems.

Moe, R.C. Commentary: The “reinventing government” exercise: Misinterpreting the problem, misjudging the consequences. *Public Administration Review* 54(2):111–122, 1994.

Arguments have been made that government needs to shift from a bureaucratic to an entrepreneurial model. This article traces the historical roots of the “reinventing government” paradigm. In particular, the author takes issue with the Gore Report and its assumptions, proposals, and rationale.

Rosenbloom, D.H. The context of management reforms. *The Public Manager: The New Bureaucrat*. Spring 1995. pp. 3-6.

The GPRA and the NPR are compared and contrasted in light of historical approaches to government reform. Although both GPRA and NPR focus on managing the bureaucracy, NPR favors Executive power, while GPRA favors congressional management.

Simeone, R.S., Carnevale, J.T., and Millar, A. Performance-based management and American public policy: The national drug control strategy. Submitted to *Public Administration Review*. 1998.

The passage of GPRA applies performance-based management principles to government agencies. This article presents a systemic logic model for the National Drug Control Strategy, and it addresses decisions to be made and the factors that influence those decisions.

Swiss, J.W. Adapting Total Quality Management (TQM) to government. *Public Administration Review* 52(4):356–362, 1992.

This article argues that classic TQM is not applicable to government organizations for several reasons (e.g., stress on products rather than services, well-defined customer groups, and emphasizing inputs and processes rather than results). To adapt TQM to government applications, it would need to emphasize client feedback, performance monitoring, continuous improvement, and worker participation.

Weinstock, M. *Managing for Results: Predicting Performance*. Government Executive Magazine. May 15, 2002. <http://www.govexec.com/features/fpp/fpp02/s6.htm>.

This article discusses the rationale behind GPRA and the potential benefits conferred by strategic planning. It gives an overview of some of the successes and challenges in performance planning by government agencies according to the GAO. The article also reviews President Bush’s management agenda and standards for success in the FY 2003 budget.

Wholey, J.S., and Hatry, J.P. The case for performance monitoring. *Public Administration Review* 52(6):604–610, 1992.

This article examines the feasibility and value of performance monitoring in improving the quality of government service programs and results. Barriers to performance monitoring are discussed (outcomes versus impacts, validity/reliability issues, defining acceptable performance standards, and perceived cost and usefulness).

Logic Models

Kirkpatrick, S. *The Program Logic Model: What, Why and How?* Charity Village Research. 2001. <http://www.charityvillage.com/charityvillage/research/rstrat3.html>

This article describes what a logic model is and why it should be used. It also lists 15 steps for developing a good logic model, with an emphasis on theory in developing the models.

McLaughlin, J.A. & Jordan, G.B. *Logic Models: A Tool for Telling Your Program’s Performance Story*. 1998. <http://pmn.net/education/Logic.htm>

This article links logic models to GPRA requirements. It provides an overview of logic models including the separate parts, process of construction, and measuring performance.

McNamara, C. *Guidelines and Framework for Designing Basic Logic Model*. St. Paul: The Management Assistance Program for Nonprofits. 2000. http://www.managementhelp.net/np_progs/np_mod/org_frm.htm

These guidelines provide a description of logic models and their purpose. It covers what to include, the level of detail, and definitions of basic terms (inputs, processes, outputs, and outcomes). An example of a logic model is provided.

Millar, A., Simeone, R.S. & Carnevale, J.T. Logic models: A systems tool for performance management. *Evaluation and Program Planning* 24:73-81, 2001.

Logic models are a systems approach to depicting causal relationships. They model a strategy-driven, rather than program- or budget-driven, reality. The development and use of logic models are discussed, along with application examples.

Ontario Network of Employment Skills Training Projects. *Program Logic Model for Clients in Receipt of Social Assistance*. 1995. <http://www.onestep.on.ca/documents/programlogicmodel.htm>

This document provides an example of a logic model developed for the social assistance program in Canada.

Taylor-Powell, E. *The Logic Model: A Program Performance Framework*. Madison, WI: University of Wisconsin. 62 pages.

This presentation describes logic models, the role of theory, and how to construct one. It also reviews outcome measures and issues in defining outcomes. Sample logic models are provided.

United Way of America. *Measuring Program Outcomes*. Alexandria, VA: United Way of America. 1996. 170 pages.

This book is a guide to establishing effective program measurement. It presents a series of eight steps including early preparation, selection of outcomes, specification of indicators, data collection, pilot testing, analysis of findings, improving the system, and application of findings.

Verma, A. Construction of offender profiles using fuzzy logic. *Policing* 20(2):408–418, 1997.

This article reports a logic theory and techniques for use with fuzzy or imprecise, non-quantitative variables. In police work, many descriptions or conditions reported do not fit into classical mathematical sets. This system introduces the concept of shades of membership patterns and the possibility of membership falling in mixed modes. Techniques for employing these variables in logic models of offender profiles are described.

W.K. Kellogg Foundation. *Logic Model Development Guide: Using Logic Models to Bring Together Planning, Evaluation and Action*. Battle Creek, MI: W.K. Kellogg Foundation. 2001. 62 pages.

This guide provides a comprehensive introduction to logic models. Chapters include “Developing a Basic Logic Model for Your Program,” “Developing a Theory-of-Change Logic Model for Your Program” and “Using Your Logic Model to Plan for Evaluation.” Each chapter includes sample exercises.

Acronyms Used in Appendix A

| | |
|----------|---|
| ADAM | Arrestee Drug Abuse Monitoring |
| CAR | Children at Risk |
| CentTF | Center for Task Force Training |
| CEWG | Community Epidemiology Work Group |
| COPS | Community Oriented Policing Services |
| CTAC | Counterdrug Technology Assessment Center |
| D.A.R.E. | Drug Abuse Resistance Education |
| DAWN | Drug Abuse Warning Network |
| DEA | Drug Enforcement Administration |
| DMP | Domestic Monitor Program |
| DOD | Department of Defense |
| DOJ | U.S. Department of Justice |
| DTO | drug trafficking organization |
| DUF | Drug Use Forecasting |
| EPIC | El Paso Intelligence Center |
| FBI | Federal Bureau of Investigation |
| GAO | General Accounting Office |
| GCIP | General Counterdrug Intelligence Plan |
| GPRA | Government Performance and Results Act |
| HIDTA | High Intensity Drug Trafficking Area |
| HSP | Heroin Signature Program |
| INS | Immigration and Naturalization Service |
| ISC | Intelligence Support Centers |
| LEA | law enforcement agency |
| MET | Mobile Enforcement Teams |
| MTF | Monitoring the Future |
| NDATUS | National Drug and Alcoholism Treatment Unit Survey |
| NHSDA | National Household Survey on Drug Abuse |
| NPR | National Performance Review |
| OBTS | Offender-Based Transaction Statistics |
| OCDEF | Organized Crime Drug Enforcement Task Force |
| OMB | Office of Management and Budget |
| ONDCP | Office of National Drug Control Policy |
| PME | Performance Measures of Effectiveness |
| RISS | Regional Information Sharing Systems |
| SAMHSA | Substance Abuse and Mental Health Services Administration |
| STRIDE | System to Retrieve Information from Drug Evidence |
| TEDS | Treatment Episode Data Set |
| UCR | Uniform Crime Report |
| USCG | United States Coast Guard |
| USCS | U.S. Customs Service |

APPENDIX B

HIDTA PROGRAM ELEMENTS

Appendix B: HIDTA Program Elements

Legislative Authority: Congress established the High Intensity Drug Trafficking Area (HIDTA) program to operate under the direction of the Office of National Drug Control Policy (ONDCP) by the Anti-Drug Abuse Act of 1988 (P.L. 100-690, November 18, 1988) and the ONDCP Reauthorization Act of 1993 (P.L. 105-277).

Program Mission: The mission of the HIDTA program is to enhance and coordinate America's drug-control efforts among local, state, and Federal law enforcement agencies in order to eliminate or reduce drug trafficking (including the production, manufacture, transportation, distribution, and chronic use of illegal drugs and money laundering) and its harmful consequences in critical regions of the United States.

Program Principles: The HIDTA program helps improve the effectiveness and efficiency of drug control efforts in the most critical drug trafficking areas of the country by facilitating cooperation among Federal, state, and local law enforcement organizations: collocating and pooling limited resources, sharing information; developing focused, coordinated strategies; and implementing joint initiatives across jurisdictional boundaries. These principles are intended to help ONDCP prioritize, focus and coordinate law enforcement efforts in the United States.

Program Priorities:

- Assess regional drug threats;
- Design strategies to focus efforts that combat drug trafficking threats;
- Develop and fund initiatives to implement strategies;
- Facilitate coordination between Federal, state, and local efforts; and
- Improve the effectiveness and efficiency of drug control efforts to reduce or eliminate the harmful impact of drug trafficking.

Program Goals: The HIDTA program has three major goals: (1) to improve the effectiveness and efficiency of counter-narcotic law enforcement agencies; (2) to reduce the impact of drug trafficking, and (3) to increase the safety of American neighborhoods.

The HIDTA program goals are arranged hierarchically. Improvements in law enforcement capabilities are needed to disrupt the impact of drug trafficking organizations (DTOs) and the crime and violence associated with illegal drug trafficking. The third goal for the HIDTA program, increasing the safety of American neighborhoods, is accomplished through achievement of the first two goals.

Intended Outputs and Outcomes: The intended outputs of successful HIDTAs are to improve the effectiveness and efficiency of law enforcement agencies, improve communication, increase the effective use of information and technology, and implement planning, training, and evaluation tools. Intended outcomes include reduction in drug sales, reduction in drug availability, increase in the number of disrupted/dismantled DTOs, reduction in the transportation and use of drugs, reduction in the production and cultivation of drugs, and reduction in the attendant financial resources of drug proceeds.

Key Elements of the HIDTA Program: The key elements of each HIDTA constitute the moving parts of the HIDTA. These elements include Congress, ONDCP, the Regional Executive Boards, the HIDTA Executive Committees and Directors, the HIDTA Initiatives and Task Forces, and the Intelligence Support Centers (ISCs).

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The program comprises the ONDCP HIDTA Program Office and the HIDTA Coordinating Committee (Federal level), the HIDTA Regional Offices and Executive Boards (regional level), and the Investigative Support and Information Centers (program level).

ONDCP HIDTA Program Office. The management responsibilities of the ONDCP HIDTA Program Office include providing program policy guidance and evaluating program performance. These activities include evaluating HIDTA threat assessments, strategies, initiatives, and proposed budgets and designating HIDTAs. The ONDCP Director, upon consultation with the Attorney General, Secretary of Treasury, heads of national drug control program agencies, and Governors of applicable states, designates specified regions of the United States as HIDTAs. The HIDTA Coordinating Committee, chaired by ONDCP's Deputy Director for State and Local Affairs, is an interagency body comprised of members of Federal drug control departments and agencies. The Coordination Committee makes recommendations on policy, program, and funding to the ONDCP Director. The Coordination Committee includes representatives from ONDCP and the Departments of Justice, Treasury, and Health and Human Services. Additionally, the National HIDTA Program establishes various subcommittees with representation from state and local law enforcement agencies around the nation.

The success of the HIDTA initiative is based on the combined resources and efforts of multiple independent law enforcement organizations and the contributions of numerous independent support organizations. The Federal Bureau of Investigation (FBI); Drug Enforcement Administration (DEA); Bureau of Alcohol, Tobacco, and Firearms (ATF); National Guard Bureau; and other Federal, state, and local agencies provide support to ONDCP and the regional HIDTAs. A disruption in support from any one of these and other organizations that contribute to the HIDTA program can have an adverse ripple effect throughout an individual HIDTA or the overall HIDTA program. Conversely, the information sharing and coordination efforts of ONDCP, the regional HIDTA offices, and other national agencies have a synergistic effect in achieving the desired outcomes and goals of the HIDTA program as a whole.

HIDTA Regional Offices and Executive Boards. At the regional level, each HIDTA has an Executive Board, which is the governing body for each HIDTA. The Boards consist of equal numbers of representatives from local, state, and Federal law enforcement agencies. The Board is responsible for the development and implementation of the HIDTA strategy and the attendant initiatives and budgets. The Board also has administrative oversight responsibility for the fiscal operations of the HIDTA, which includes ensuring that HIDTA funds and resources are utilized in compliance with all program guidance and policies. The Board hires a Director to assist with the day-to-day administration of the HIDTA, implement appropriate oversight controls, and liaison with ONDCP. Operational control of initiatives is the sole purview of the participating law enforcement agencies. A primary function of HIDTA regional offices is to develop regional threat assessments and integrate the efforts of multiple law enforcement agencies with various responsibilities, capabilities, and jurisdictional authorities (i.e., Federal, state, and local) into a coordinated, united effort against identified drug trafficking problems.

HIDTA Director and Executive Committee. At the individual program level, each HIDTA is governed by an Executive Committee, which is led by a Chair and a Vice Chair (one state or local person and one Federal person). There are approximately 16 members of the law enforcement and justice communities on each committee, including 8 Federal members and 8 state or local members. The Executive Committee determines the character of HIDTA strategies and, in concert with the HIDTA Director, is responsible for the development and implementation of the HIDTA program. The Committee also has responsibilities to propose annual budgets; develop joint strategies with initiatives that specifically address the annual drug trafficking threat assessments; and monitor the development, implementation, support, and evaluation of HIDTA initiatives.

Investigative Support Center. An interagency Intelligence Center (also called Investigative Support Center and Information Center) is mandated in each HIDTA. These centers create a communication infrastructure to facilitate information sharing between Federal, state, and local law enforcement agencies. These centers

analyze information from many Federal, state, and local sources to provide intelligence support to law enforcement agencies regarding DTOs and their vulnerabilities. The centers supply strategic intelligence as well as case support to law enforcement agencies, and they develop the annual threat assessments that are used in determining the HIDTA's enforcement strategies. Intelligence centers also provide other functions and services, such as event deconfliction, to regional law enforcement organizations. The centers provide secure facilities and information systems to Federal, state, and local law enforcement agencies for storing and sharing information.

The ISC is the centerpiece of the HIDTA program and a common element of every HIDTA. A state or local and a Federal law enforcement agency jointly manages the ISC. Drug control data is collected from Federal agencies, including the DEA, FBI, U.S. Customs, and many state and local law enforcement agencies. HIDTA ISCs provide secure sites and information systems for participating law enforcement agencies (members of what is called a task force) to store and appropriately share information and intelligence. Investigative support is provided through connectivity to various law enforcement databases (e.g., El Paso Intelligence Center [EPIC], Regional Information Sharing Systems [RISS]), post-seizure and case-support analyses, forensics, financial investigations, and technology sharing and development.

Other key program elements include threat assessment, strategy development, and task forces.

Threat Assessment. The primary driving force behind a HIDTA is the threat assessment; counties are designated as a part of a HIDTA due to an unusually high amount of illegal drug trafficking. Several different drug trafficking threats are considered: heavy sales/use of illegal drugs, smuggling routes or transshipment points, or being a center of cultivation or manufacture.

Strategy. To combat the drug trafficking issues identified in the threat assessment, each HIDTA formulates an individual strategy. The strategy is carried out through specific initiatives that are designed to address the identified threat. For example, if certain highways in an area are known to be popular smuggling routes, Mobile Enforcement Teams might be included among the initiatives (e.g., Appalachia, Gulf Coast, Rocky Mountain). Or if open-air drug markets are identified as a problem (e.g., Baltimore/Washington, D.C., New York/New Jersey, Philadelphia/Camden), specific initiatives may be designed to close them down.

HIDTA Task Force. Each HIDTA has great flexibility in terms of developing its own strategy, initiatives, and task forces. Each task force includes a group of law enforcement officers who focus on a particular initiative to reduce the overall threat in the community. A task force is characterized by the co-location and co-mingling of agency representatives to work on a particular initiative, such as financial crime. Each task force focuses on particular types of cases or problems that are important to a particular initiative undertaken by the HIDTA and each task force may work on multiple cases simultaneously.

Unique Processes. Because drug trafficking threats vary in different areas, HIDTAs are extremely flexible by design. Some HIDTAs focus on interdiction in transit zones into the United States (e.g., southwest border, Puerto Rico/Virgin Islands, Los Angeles). Others have initiatives targeting open-air drug markets and street gangs (e.g., Gulf Coast, Philadelphia, Washington, D.C./Baltimore, New York); transportation hubs such as airports, bus terminals, and seaports (central and south Florida, Houston, Hawaii, New England); highway interdiction (Rocky Mountain, Gulf Coast); parcel deliveries (Philadelphia, southeast Michigan); or violent fugitives (Los Angeles, New York/New Jersey, Washington, D.C./Baltimore). Some HIDTAs focus on specific drug threats such as heroin (Milwaukee), marijuana (Appalachia), or methamphetamines (Midwest and Central Valley, California).

Each program element has a role, as described above, and a function that relates to accomplishing one or more of the goals and objectives of the HIDTA. All of the elements, bound together, work to accomplish the following activities:

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- *Under Goal 1: Improve the Efficiency and Effectiveness of Law Enforcement within HIDTAs*
 - Develop guidelines to support administration and accountability of resources.
 - Develop a financial database.
 - Build and employ a program performance evaluation component.
 - Identify and implement processes for sharing best practices.
 - Perform deconfliction services.
 - Support electronic interconnectivity between and among ISCs.
 - Support electronic interconnectivity of each ISC to the HIDTA task force.
 - Support participation in training on information technology.
 - Support participation in training on conducting investigations.
 - Support participation in training on strategic planning and information sharing.
 - Conduct annual HIDTA threat assessments.
 - Assess HIDTA initiatives.
 - Evaluate performance and prepare annual reports.
 - Modify annual Performance Plans and Performance Reports.
 - Identify processes for sharing best practices.
 - Participate in onsite reviews.
- *Under Goal 2: Reduce the Efficiency and Impact of Drug Trafficking Organizations in America*
 - Use HIDTA Intelligence Center information to assess drug trafficking.
 - Reduce levels and types of drug trafficking.
 - Ensure that management is focused on drug production, transportation, distribution, chronic use, and money laundering.

Resources: The primary resource provided by the HIDTA program is coordination and intelligence for participating law enforcement agencies. Coordination or interagency cooperation is accomplished in several ways. The most common means of achieving coordination is co-location, in which participating law enforcement agencies share common work space. Another form of co-location occurs when members of one agency are “loaned” to another agency.

The HIDTA program is intended to conserve Federal, state, and local tax dollars allocated for drug control efforts by prioritizing the nation’s most critical drug trafficking regions and focusing limited resources on specific, identified problems. The HIDTA program is also intended to optimize tax dollars; once a HIDTA is designated, Federal, state, and local resources are combined with HIDTA funding and shared by multi-agency programs.

The HIDTA program funds help Federal, state, and local law enforcement organizations invest in infrastructure and joint initiatives to confront DTOs. Funds are also used for demand reduction and drug treatment initiatives. Resources provided by the program have grown from \$25 million in FY 1990 to over \$226 million in FY 2002.

External Factors: Several external factors must be isolated and assessed in the process of the performance monitoring and management system developed for the HIDTA program. These include the following:

- ***Decentralized management of the program and lack of formal line of authority from ONDCP level to regional office level.*** Regional Executive Boards maintain a high degree of autonomy in managing the regional offices. This autonomy affords each HIDTA the flexibility to tailor its efforts. ONDCP exercises influence over decisionmakers at the regional offices through policy and program guidance, budget approval, and by holding the Regional Executive Boards accountable for the results of their initiatives.

The reporting can be characterized by a solid chain of command from the HIDTA to the Executive Board and by a dotted line to ONDCP. Grant dollars are paid through a fiduciary that may have no connection to the HIDTA. This autonomy gives the HIDTA program its strength, but it can also create oversight and management challenges.

- ***Legislative Influence.*** Before FY 1999, Congress required ONDCP to fund each existing HIDTA at a level no less than the previous year without the prior approval of the Committees on Appropriations. In 1999, Congressional conferees noted that ONDCP must have flexibility to allocate resources to those HIDTAs most likely to have the greatest impact on the country's drug problems.
- ***Terrorism Impacts.*** Recent events have caused a diversion of counterdrug assets to the counterterrorism mission.
- ***National Guard.*** While the National Guard has a significant role in the HIDTAs across the country, their FY 2001 level of support was reduced in FY 2002.

APPENDIX C

OCDETF PROGRAM ELEMENTS

Appendix C: OCDETF Program Elements

Mission: The mission of the OCDETF program is to identify, investigate, and prosecute the most significant drug trafficking and money laundering organizations. This is accomplished through interagency cooperation and supplemental Federal resources in order to reduce drug supply in the United States.

Goals and Objectives: There are five objectives for each OCDETF region:

1. To target, investigate, and prosecute individuals who organize, direct, finance, or otherwise engage in high-level illegal drug trafficking and related enterprises, including large-scale money laundering organizations, for the purpose of developing coordinated, multi-regional investigations that have the greatest potential to disrupt and dismantle nationwide drug and money laundering organizations and thereby reduce domestic drug supply.
2. To promote a coordinated drug enforcement effort in each OCDETF region, to encourage maximum cooperation among all drug enforcement agencies, and to involve prosecutors early in the development of investigations.
3. To work fully and effectively with state and local drug enforcement agencies.
4. To link components of major drug trafficking and/or money laundering organizations in order to develop simultaneous, coordinated investigations which will dismantle the entire infrastructure of the organization.
5. To make full use of financial investigative techniques, to identify and convict high-level traffickers and dismantle money laundering organizations, and to enable the government to seize and forfeit assets and profits, proceeds, and instrumentalities derived from high-level drug trafficking and related crimes.

Organization Elements (Washington, D.C., Area)

OCDETF Executive Committee (Deputy Attorney General, Chair). The committee, composed of the heads of the nine OCDETF agencies, articulates policy, reviews resource allocations, and coordinates the development and maintenance of the OCDETF program. The Executive Committee is ultimately responsible for dispute resolution of issues that cannot be resolved at the regional level. The OCDETF Executive Committee meets at least quarterly.

Representatives are drawn from the following Federal agencies:

1. Drug Enforcement Administration
2. Federal Bureau of Investigation
3. United States Attorney's Office
4. United States Marshals Service
5. Immigration and Naturalization Service
6. Department of Treasury
7. Bureau of Alcohol, Tobacco and Firearms
8. United States Customs Service
9. Internal Revenue Service
10. United States Coast Guard
11. National Drug Intelligence Center

Director, OCDETF Executive Office. The OCDETF Director provides leadership, direction and focus for the OCDETF program. The Director, an Associate Deputy Attorney General, functions as a spokesperson and

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advocate for the program with Congress, OMB, ONDCP, and other governmental oversight and law enforcement agencies.

Operations Chiefs Group (OCDETF Director, Chair). This group includes specified leadership positions from all Federal agencies and departments that regularly participate in OCDETF activities. This group provides coordination, program management, and guidance. Each member also serves as a boundary spanner, and shares relevant OCDETF information with their respective agencies. The Operations Chiefs Group meets at least quarterly.

WARG—Washington Agency Representative Group (OCDETF Director, Chair). This group consists of senior representatives of Federal agencies and departments that regularly participate in OCDETF activities. This group shares relevant information, formulates policies and procedures, and provides program coordination. This group is responsible for program adherence to guidelines, program evaluation, budget preparation, and sponsoring training programs and regional conferences. It meets monthly and as needed.

Organization Elements (Regional Level)

Task Force Regions. The task force regions and core cities are established according to Federal judicial jurisdictions. They are:

1. New England (Boston)
2. New York/New Jersey (New York)
3. Mid-Atlantic (Baltimore)
4. Great Lakes (Chicago)
5. Southeast (Atlanta)
6. West Central (St. Louis)
7. Florida/Caribbean (Miami)
8. Southwest (Houston)
9. Pacific (San Francisco)

Advisory Council (Core City U.S. Attorney, Chair). Consists of the U.S. Attorney from each district and senior law enforcement officials from each member agency. Responsibilities of this council include monitoring drug trafficking patterns, formulating regional strategies, communicating with Federal agencies, coordinating drug enforcement efforts, and ensuring the appropriate use of OCDETF funds.

Regional Coordination Group. Consists of the designated Assistant U.S. Attorney Coordinator and one senior/supervisory level Agent Coordinator from each OCDETF member agency, as well as non-OCDETF Federal law enforcement representatives (optional). This group assists the Advisory Council in monitoring drug trafficking patterns. It is also primarily responsible for evaluating and approving Investigation Initiation Forms, monitoring OCDETF program activities within the region, facilitating information exchange, managing expenses, ensuring deployment of resources for OCDETF cases, performing annual case reviews, and submitting completed OCDETF reports.

Organization Elements (District Level)

District Coordination Group (U.S. Attorney, Chair). Comprised of the Lead OCDETF Attorney, the OCDETF investigative agency Special Agents in Charge or senior supervisors from judicial district, and state or local law enforcement representative(s). Each group is responsible for accepting/rejecting Investigation Initiation Forms; reviewing allocation of resources (e.g., agencies, agents, attorneys, support staff, etc.) to OCDETF investigations; coordinating Federal, state, and local law enforcement agencies; and ensuring information sharing. Meets regularly.

United States Attorney. Provides administrative support and is responsible for overall OCDETF performance within that judicial District. Designates OCDETF Attorneys and Lead OCDETF Attorneys.

Lead OCDETF Attorney. Responsible for submitting investigation proposals to the Regional Coordination Group following approval by the District Coordination Group, maintaining status reports of OCDETF investigations and prosecutions, ensuring reports are accurately prepared and submitted, and identifying cases with asset forfeiture potential. Also serves on District Coordination Group and as a liaison with the Regional Coordination Group.

Investigative Agency Special Agents-in-Charge and U.S. Marshals. Responsible for bringing potential investigations (including HIDTA investigations, where appropriate) to the District Coordination Group, assigning Federal agents to OCDETF investigations, and supervising state and local officers. They also serve on the District Coordination Group and the OCDETF Advisory council.

Intended Outputs and Outcomes: The primary outputs and outcomes of successful OCDETF programs involve the successful dismantling of high-level DTOs.

- Outputs:**
1. Number of multi-region, simultaneous drug investigations
 2. Number of primary money laundering investigations
 3. Percentage of OCDETF defendants in a leadership role
 4. Number of investigations targeting command and control organizations on the Consolidated Priority Organization Target (CPOT) list
 5. Number of CPOT targets dismantled
 6. Number of regional strategies approved, implemented, and evaluated

Included within these outcomes are the number of successful prosecutions of high-level drug traffickers, the sentences handed down, and the financial proceeds seized or forfeited.

Outcome: Reduction in drug supply availability in the United States

Resources

OCDETF investigations are lengthy and complex, often requiring significant expenditures of agent time and the use of sophisticated investigative techniques. The primary resources provided by the OCDETF program are for salary reimbursements, overtime expenses incurred by participating state and local law enforcement agencies and investigative expenses, to include TDY costs, in support of the OCDETF investigation. Without these earmarked OCDETF funds, Federal agencies without explicit Title 21 drug enforcement jurisdiction (i.e., ATF, IRS, INS, US Marshals) could not contribute significantly to successful prosecutions and dismantlement of large-scale DTOs.

The resources are used to foster interagency cooperation between law enforcement agencies and sustain agency commitment throughout long term investigations, which is particularly critical in ensuring the continuing commitment of state and local officers in OCDETF investigations.

Case Approval Process

Criteria for OCDETF Submission and Approval

1. Investigations tied or linked to major drug trafficking and money laundering organizations contained on the Attorney General's Consolidated Priority Organization Target (CPOT) List.

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2. Investigations emanating from Special Operations Division (SOD) leads and are linked to SOD-coordinated investigations.
3. Investigations that are spinoffs from, or linked to, an ongoing OCDETF investigation in another district or region or have the potential to be multi-region in scope.
4. Investigations that are connected/linked to recognized international organizations or to components of a nationwide drug or money laundering organization.
5. Investigation of MDTOs that warrant the involvement of more than one investigative agency.
6. Investigations of MDTOs that demand significant attorney resources during the investigative stage (i.e., grand juries, wiretap, substantial cash or property assets subject to forfeiture, witness plea agreements and protection, and the corruption of public officials).
7. Investigations that focus on criminal activities in order to achieve high-level prosecutions within an organization and also concentrate on dismantling the financial infrastructure of the targeted organization.
8. Investigations that focus on prosecutions at upper levels of an organization with the potential forfeiture of illegal assets.
9. Investigations and prosecutions that are expected to result in the conviction of persons engaged in organized activities related to importation, manufacture, distribution, crop cultivation, diversion, sales, financial support, or money laundering associated with the illicit trafficking of any illegal drug or narcotic substance, including pharmaceuticals and precursor chemicals.
10. Investigations that have the potential to disrupt the organization through the seizure and forfeiture of money, conveyances, real estate, businesses, or other non-drug assets through both criminal and civil forfeiture action.

Case Initiation

Investigations are (almost exclusively) initiated by an OCDETF member agency. OCDETF cases are normally generated by the receipt of intelligence, seizure of contraband, informant information, or investigative efforts. The case agent (or possibly the Assistant U.S. Attorney) will prepare the Investigation Initiation Form. If the District Coordination Group approves the case, it is forwarded to the Regional Coordination Group. Upon approval at the regional level, it becomes an official OCDETF investigation. Upon official designation (or before) agency resources are committed, an Assistant U.S. Attorney is assigned by the U.S. Attorney, and the District Coordination Group will determine the need for involving state/local law enforcement and arrange for joint enforcement actions.

OCDETF Cases

OCDETF cases rely on several traditional investigative techniques including undercover work, investigative grand juries, and confidential informants. The use of court-authorized electronic surveillance is also increasing. In addition, OCDETF investigations are required to focus on financial investigations, which can help identify the organization's assets and the financial operatives within the drug organization, in order to completely dismantle and destroy the infrastructure of the organization.

OCDEF Investigative Forms

- *Investigation Selection and Acceptance.* To receive an OCDEF designation, an investigation must involve at least two law enforcement agencies, one of which must be a Federal agency. Any participating Federal agency may submit a proposal for initiation of an OCDEF investigation using an Investigation Initiation Form (IIF). The form is presented to the District Coordination Group and then to the Regional Coordination Group.
- *Indictments.* Upon indictment, two Indictment or Information Forms must be completed.

Part A contains the following information regarding the investigation:

- Court docket number
- Court jurisdiction (i.e., Federal, state, or local)
- Number of defendants
- Case personnel (i.e., attorneys)
- Agencies involved and number of personnel by agency
- Types of drugs involved and type of organization
- Investigative techniques utilized

Part B pertains to the defendant and in cases with multiple defendants, must be completed for each defendant. Part B contains the following defendant information:

- Name
- Date of birth
- Social Security number
- Citizenship status
- Charged offenses and number of counts for each offense
- Leadership role/functional role

- *Post-Trial Reports.* Upon completion of a case, by trial or plea, two forms are completed. One is a Disposition/Sentencing Report. This form lists pertinent individual information regarding the defendant (e.g., name, Social Security number, citizenship, etc.), the original charges and the outcomes of each charge (guilty, plea bargain, acquittal, dismissal), and the sentence, including fines and total prison term.

The final required report is the OCDEF Closing Report, which lists the operation name, case number, lead attorney, and sponsoring agency. It also lists the results achieved—whether the organization was dismantled, disrupted, or not significantly affected. If the organization is not classified as dismantled or disrupted, the reasons for failure to disrupt the organization must be provided.

OCDEF Statistical/Performance System

Management Information System (MIS). This system is designed to meet the management needs of the Executive Committee, WARG, U.S. Attorneys, participating agencies, and OCDEF regions. The MIS provides data for program evaluation and reports to the Attorney General, the President, Congress, and the public. It contains information from:

1. Investigation Initiation Forms (IIF);
2. Indictment and Investigation Forms (Parts A and B);
3. Disposition and Sentencing Reports; and
4. OCDEF Closing Reports.

The MIS information is entered into a searchable database at the OCDEF Executive Office and includes:

1. Actual penalties imposed (sentences and fines);

2. Total criminal fines assessed against these offenders versus the amount collected by the Federal government; and
3. Offenders convicted and the non-drug assets (cash and property) seized and/or forfeited.

External Factors for OCDETF

Estimating Drug Supply. The OCDETF program is designed to reduce drug supply as one of its primary outcomes. It is much easier to track prosecutions, seizures, and amount of assets forfeited (i.e., outputs) because they are quantifiable. Determining the impact of OCDETF investigations upon the total drug supply is much more complicated. Common approaches include drug use surveys, measurable indicators of drug use among arrestees, emergency room and coroner reports, and estimates by various law enforcement agencies. Each of these measures has inherent weaknesses and are insufficient for estimating the available drug supply.

Terrorism. The recent terrorist attacks have precipitated a shift in emphasis for many Federal agencies. Counterterrorism has become a greater priority for many agencies involved in OCDETF investigations including the FBI, INS, U.S. Customs Service, and the Coast Guard. The shift in priorities may reduce available resources for investigating major drug trafficking organizations and conducting financial investigations in particular.

APPENDIX D

LEGISLATIVE AUTHORITY FOR HIDTA AND OCDETF PROGRAMS

Appendix D: Legislative Authority for HIDTA and OCDETF Programs

High Intensity Drug Trafficking Areas (HIDTA) Program

(Title 21, chapter 22, Sec. 1706; from PL 105-277:Office of National Drug Control Policy Reauthorization Act of 1998)

(a) Establishment. There is established in the Office a program to be known as the High Intensity Drug Trafficking Areas Program.

(b) Designation. The Director, upon consultation with the Attorney General, the Secretary of the Treasury, heads of the National Drug Control Program agencies, and the Governor of each applicable State, may designate any specified area of the United States as a high intensity drug trafficking area. After making such a designation and in order to provide Federal assistance to the area so designated, the Director may—

- (1) obligate such sums as appropriated for the High Intensity Drug Trafficking Areas Program;
- (2) direct the temporary reassignment of Federal personnel to such area, subject to the approval of the head of the department or agency that employs such personnel;
- (3) take any other action authorized under section 1703 of this title to provide increased Federal assistance to those areas;
- (4) coordinate activities under this subsection (specifically administrative, recordkeeping, and funds management activities) with State and local officials.

(c) Factors for consideration

In considering whether to designate an area under this section as a high intensity drug trafficking area, the Director shall consider, in addition to such other criteria as the Director considers to be appropriate, the extent to which—

- (1) the area is a center of illegal drug production, manufacturing, importation, or distribution;
- (2) State and local law enforcement agencies have committed resources to respond to the drug trafficking problem in the area, thereby indicating a determination to respond aggressively to the problem;
- (3) drug-related activities in the area are having a harmful impact in other areas of the country; and
- (4) a significant increase in allocation of Federal resources is necessary to respond adequately to drug-related activities in the area.

(d) Use of funds. The Director shall ensure that no Federal funds appropriated for the High Intensity Drug Trafficking Program are expended for the establishment or expansion of drug treatment programs

Other Provisions:

For necessary expenses of the Office of National Drug Control Policy's High Intensity Drug Trafficking Areas Program, \$192,000,000 for drug control activities consistent with the approved strategy for each of the designated High Intensity Drug Trafficking Areas, of which no less than

51 percent shall be transferred to State and local entities for drug control activities, which shall be obligated within 120 days of the date of the enactment of this Act: Provided, That up to 49 percent may be transferred to Federal agencies and departments at a rate to be determined by the Director: Provided further, That, of this latter amount, \$1,800,000 shall be used for auditing.

Provided further, That, hereafter, of the amount appropriated for fiscal year 2000 or any succeeding fiscal year for the High Intensity Drug Trafficking Areas Program, the funds to be obligated or expended during such fiscal year for programs addressing the treatment or prevention of drug use as part of the approved strategy for a designated High Intensity Drug Trafficking Area (HIDTA) shall not be less than the funds obligated or expended for such programs during fiscal year 1999 for each designated HIDTA without the prior approval of the Committees on Appropriations: Provided further, That funds shall be provided for existing High Intensity Drug Trafficking Areas at no less than the total fiscal year 1999 level.

Combating Methamphetamine and Amphetamine in High Intensity Drug Trafficking Areas (Act, Oct 17, 2000, P.L. 106-310, Title XXXVI, Subtitle A, Part II, Section 3624, 114 Stat. 1232) provides:

(a) In General.

(1) In general. The Director of National Drug Control Policy shall use amounts available under this section to combat the trafficking of methamphetamine and amphetamine in areas designated by the Director as high intensity drug trafficking areas.

(2) Activities. In meeting the requirement in paragraph (1), the Director shall transfer funds to appropriate Federal, State, and local governmental agencies for employing additional Federal law enforcement personnel, or facilitating the employment of additional State and local law enforcement personnel, including agents, investigators, prosecutors, laboratory technicians, chemists, investigative assistants, and drug-prevention specialists.

(b) Authorization of Appropriations.—There is authorized to be appropriated to carry out this section—

(1) \$15,000,000 for fiscal year 2000; and

(2) such sums as may be necessary for each of fiscal years 2001 through 2004.

(c) Apportionment of Funds.—

(1) Factors in apportionment.—The Director shall apportion amounts appropriated for a fiscal year pursuant to the authorization of appropriations in subsection (b) for activities under subsection (a) among and within areas designated by the Director as high intensity drug trafficking areas based on the following factors:

(A) The number of methamphetamine manufacturing facilities and amphetamine manufacturing facilities discovered by Federal, State, or local law enforcement officials in the previous fiscal year.

(B) The number of methamphetamine prosecutions and amphetamine prosecutions in Federal, State, or local courts in the previous fiscal year.

(C) The number of methamphetamine arrests and amphetamine arrests by Federal, State, or local law enforcement officials in the previous fiscal year.

(D) The amounts of methamphetamine, amphetamine, or listed chemicals (as that term is defined in section 102(33) of the Controlled Substances Act (21 U.S.C. 802(33)) seized by Federal, State, or local law enforcement officials in the previous fiscal year.

(E) Intelligence and predictive data from the Drug Enforcement Administration and the Department of Health and Human Services showing patterns and trends in abuse, trafficking, and transportation in methamphetamine, amphetamine, and listed chemicals (as that term is so defined).

(2) Certification.—Before the Director apportions any funds under this subsection to a high intensity drug trafficking area, the Director shall certify that the law enforcement entities responsible for clandestine methamphetamine and amphetamine laboratory seizures in that area are providing laboratory seizure data to the national clandestine laboratory database at the El Paso Intelligence Center.

(d) Limitation on Administrative Costs.—Not more than 5 percent of the amount appropriated in a fiscal year pursuant to the authorization of appropriations for that fiscal year in subsection (b) may be available in that fiscal year for administrative costs associated with activities under subsection (a).

OCDETF Authorizing Legislation (PL 97-377)

Title X: Appropriates funds for programs provided for in the Departments of Commerce, Justice, and State, the Judiciary, and Related Agencies Appropriation Act, 1983, as reported in the Senate on September 24, 1982.

Appropriates funds at special rates for the Department of Commerce, including the Bureau of the Census, Economic Development Administration, International Trade Administration, Minority Business Development Agency, the United States Travel and Tourism Administration, the National Oceanic and Atmospheric Administration, and National Telecommunications and Information Administration.

Appropriates Funds for the Department of Transportation, Maritime Administration. Makes appropriations for the: (1) Federal Trade Commission; and (2) Small Business Administration, including the business loan and investment fund.

Authorizes appropriations for the Department of Justice and other legal activities including payment for: (1) the Antitrust Division; (2) U.S. Attorneys and Marshalls; (3) support of U.S. prisoners; (4) witnesses; and (5) the Community Relations Service.

Appropriates funds for Interagency Law Enforcement, Organized Crime Drug Enforcement, the Federal Bureau of Investigation, the Immigration and Naturalization Service, and the Drug Enforcement Administration.

Allows the use of funds for assistance to Cuban-Haitian entrants.

Provides appropriations for the Commission on Civil Rights, the Equal Employment Opportunity Commission, and the Legal Services Corporation. Prohibits the use of funds to provide legal assistance for or on behalf of an alien unless the alien is a lawful resident of the United States. Imposes other restrictions on the use of funds by the Legal Services Corporation.

Makes appropriations for the Department of State, including the Administration of Foreign Affairs, the Asia Foundation, the Commission on Wartime Relocation and Internment of Civilians and, the United States Information Agency. Provides necessary funds for the reopening of certain U.S. consulates and for annual obligations of membership in international multilateral organizations.

Appropriates funds for salaries and expenses for Judges, officers, and employees of the U.S. Bankruptcy Courts.

Departments of Labor, Health and Human Services, and Education and Related Agencies Appropriation Act, 1983