

OFFICE OF NATIONAL DRUG CONTROL POLICY

Fiscal Year 2004
Congressional
Budget Submission

EXECUTIVE OFFICE OF THE PRESIDENT

F E B R U A R Y 2 0 0 3

200604

200604

PROPERTY OF
National Criminal Justice Reference Service (NCJRS)
Box 6000
Rockville, MD 20849-6000

OFFICE OF NATIONAL DRUG CONTROL POLICY

Fiscal Year 2004 Budget

February 2003

Table of Contents

I. EXECUTIVE SUMMARY	1
II. MISSION	5
III. SALARIES AND EXPENSES	9
A. PROGRAM OVERVIEW	9
B. APPROPRIATIONS LANGUAGE.....	13
C. SALARIES & EXPENSES FY 2004 BUDGET REQUEST	14
ONDCP Operations	14
Gifts and Donations	17
D. SUMMARY TABLES OF PROGRAM AND FINANCING	18
Salaries and Expenses.....	18
Gifts And Donations.....	19
E. SUMMARY TABLES OF PERSONNEL.....	20
F. DETAIL OF PERMANENT POSITIONS.....	21
G. SUMMARY TABLES OF BUDGET AUTHORITY BY OBJECT CLASS.....	22
Salaries And Expenses - Operations.....	22
Salaries and Expenses - Research and Development	23
Gifts and Donations.....	24
H. EXPLANATION OF CHANGES BY OBJECT CLASS.....	25
IV. COUNTERDRUG TECHNOLOGY ASSESSMENT CENTER (CTAC)	27
A. PROGRAM OVERVIEW	27
B. MISSION STATEMENT.....	28
C. FY 2004 PERFORMANCE PLAN.....	28
D. APPROPRIATION LANGUAGE.....	40
E. SUMMARY TABLES OF PROGRAM AND FINANCING.....	41
F. SUMMARY TABLES OF PERSONNEL	42
G. FY 2002 ANNUAL PROGRAM PERFORMANCE REPORT	45
V. OTHER FEDERAL DRUG CONTROL PROGRAMS	52
A. PROGRAM OVERVIEW	52
B. APPROPRIATION LANGUAGE.....	53
C. SUMMARY TABLES OF PROGRAM AND FINANCING - 2004 BUDGET REQUEST	54
D. SUMMARY TABLES OF PERSONNEL.....	56
E. OTHER FEDERAL DRUG CONTROL PROGRAMS	57
1. NATIONAL YOUTH ANTI-DRUG MEDIA CAMPAIGN	58
a. PROGRAM OVERVIEW	58
b. MISSION STATEMENT	59
c. FY 2004 PERFORMANCE PLAN	59
d. FY 2004 BUDGET REQUEST	75
e. FY 2002 ANNUAL PROGRAM PERFORMANCE REPORT	76

2. DRUG FREE COMMUNITIES SUPPORT PROGRAM.....	86
a. PROGRAM OVERVIEW	86
b. MISSION STATEMENT	88
c. FY 2004 PERFORMANCE PLAN	88
d. FY 2004 BUDGET REQUEST	104
e. FY 2002 ANNUAL PROGRAM PERFORMANCE REPORT	106
3. ADDITIONAL PROGRAMS.....	110
a. Counterdrug Intelligence Executive Secretariat.....	110
b. Performance Measures Development	111
c. National Drug Court Institute	112
d. United States Anti-Doping Agency	112
e. World Anti-Doping Agency Dues	113
VI. HIGH INTENSITY DRUG TRAFFICKING AREA (HIDTA) PROGRAM	114
A. PROGRAM OVERVIEW	114
B. MISSION STATEMENT.....	116
C. FY 2004 PERFORMANCE PLAN.....	116
D. APPROPRIATION LANGUAGE.....	125
E. SUMMARY TABLES OF PROGRAM AND FINANCING.....	126
F. SUMMARY TABLES OF PERSONNEL	127
G. SUMMARY TABLES OF BUDGET AUTHORITY BY OBJECT CLASS.....	128
H. FY 2002 ANNUAL PROGRAM PERFORMANCE REPORT.....	130

EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF NATIONAL DRUG CONTROL POLICY

I. EXECUTIVE SUMMARY

The Office of National Drug Control Policy (ONDCP) is the President's primary source of support for counter-drug policy development and program oversight. The Office advises the President on national and international drug control policies and strategies, and works to ensure the effective coordination of drug programs within the National Drug Control Program agencies.

The FY 2004 budget request builds on the FY 2003 budget request. For the period October 1, 2003 through September 30, 2004, ONDCP is requesting budget authority of \$523,640,000 and 125 FTE. This represents an increase of \$532,000 (0.1%) from the FY 2003 budget request.

The FY 2004 budget request reflects four accounts: the Salaries and Expenses; the Counterdrug Technology Assessment Center (CTAC); the Other Federal Drug Control Programs; and the High Intensity Drug Trafficking Areas (HIDTA) program.

The request for Salaries and Expenses is \$27,290,000 and 125 FTE. This is an increase of \$1,832,000 and 10 FTE over the FY 2003 budget request. The budget request includes operational expenses of \$25,940,000 and ONDCP's Policy Research of \$1,350,000.

The Counterdrug Technology Assessment Center budget request is \$40,000,000. This request is the same level as requested in the FY 2003 budget request. The budget request includes \$18,000,000 for research and development and \$22,000,000 for technology transfer to State and local law enforcement agencies.

The Other Federal Drug Control Programs budget request of \$250,000,000 is \$1,300,000, or 0.5%, less than the FY 2003 Budget request. This request funds the National Youth Anti-Drug Media Campaign; Drug-Free Communities Program; Performance Measures Development; Intelligence Architecture; the National Drug Court Institute; United States Anti-Doping Agency; and World Anti-Doping Agency (WADA) dues.

The HIDTA budget request of \$206,350,000, is the same level as requested in the FY 2003 budget request. Within the budget request, a total of \$2.1 million will be used for auditing services and associated activities, and at least \$0.5 million of the \$2.1 million will be used to develop and implement, by FY 2004, a data collection system to measure the performance of the each HIDTA and the National HIDTA Program in support of the Government Performance and Results Act (GPRA).

In 2002, the Office of Management and Budget (OMB) conducted systematic reviews of more than 200 Federal programs to assess their performance in a number of areas. Two ONDCP programs, the HIDTA and National Youth Anti-Drug Media Campaign, were among the 200

programs. The reviews, conducted jointly with ONDCP, found that the two programs had not demonstrated the results sought and had not established satisfactory long-term and annual performance goals. A summary of those reviews is included in the *Performance Management Assessments* volume of the President's Budget and details of the reviews can be found on the OMB website: <http://www.whitehouse.gov/omb>.

(\$ in thousands)	FY 2002	FY 2003	FY 2004 Request
Salaries & Expenses:			
Operations	\$22,895	\$24,108	\$25,940
Policy Research	\$1,350	\$1,350	\$1,350
National Alliance for Model State Drug Laws	\$1,000	\$0	\$0
Subtotal, Salaries & Expenses	\$25,245	\$25,458	\$27,290
CTAC	\$42,300	\$40,000	\$40,000
Other Federal Drug Control Programs:			
National Youth Anti-Drug Media Campaign	\$179,941	\$180,000	\$170,000
Drug Free Communities Support Program	\$50,600	\$60,000	\$70,000
U.S. Anti-Doping Agency	\$4,800	\$1,000	\$1,500
Counterdrug Intelligence Executive Secretariat	\$2,941	\$6,000	\$4,500
National Drug Court Institute	\$1,000	\$1,000	\$1,000
Performance Measures Development	\$0	\$2,000	\$2,000
World Anti-doping Agency (WADA) Membership Dues	\$0	\$800	\$1,000
National Alliance for Model State Drug Laws	\$0	\$500	\$0
Subtotal, Special Forfeiture Fund	\$239,282	\$251,300	\$250,000
HIDTAs:			
Grants and Federal Transfers	\$224,250	\$204,250	\$204,250
HIDTA Auditing Services and Associated Activities	\$2,041	\$2,100	\$2,100
Subtotal, HIDTAs	\$226,291	\$206,350	\$206,350
Total, ONDCP Request	\$533,118	\$523,108	\$523,640

(\$ in thousands)	FY 2002 2/	FY 2003	FY 2004 Request
Salaries & Expenses	\$25,245	\$25,458	\$27,290
Counterdrug Technology Assessment Center 1/	\$42,300	\$40,000	\$40,000
Other Federal Drug Control Programs	\$239,282	\$251,300	\$250,000
High Intensity Drug Trafficking Areas	\$226,291	\$206,350	\$206,350
Total	\$533,118	\$523,108	\$523,640

Totals may not add up due to rounding.

1/ The funding total for FY 2002 includes a \$7 million appropriation from the Department of Transportation and Related Agencies Appropriation Act, 2001, as enacted by section 101 (a) of Pub. L. 106-346.

2/ FY 2002 funding reflects a rescission of \$195,000 required by Section 1403 of 2002 Supplemental Appropriations Act for further recovery from and response to terrorist attacks on the United States (H.R. 4775).

II. MISSION

ONDCP is the President's primary source of support for drug policy development and program oversight. The Office advises the President on national and international drug control policies and strategies, and works to ensure the effective coordination of anti-drug programs within the National Drug Control Program agencies.

ONDCP's other major responsibilities include:

- Developing a five-year *National Drug Control Strategy (Strategy)* and submitting to Congress annual reports on the progress and implementation of the *Strategy*;
- Developing a consolidated National Drug Control Budget to implement the National Drug Control Strategy and certifying whether the drug control budgets proposed by National Drug Control Program agencies are adequate to carry out the *Strategy*;
- Including in each annual report an evaluation of the effectiveness of the Federal drug control program during the preceding year;
- Coordinating and overseeing Federal anti-drug policies and programs of 15 Federal agencies responsible for implementing the Strategy;
- Conducting policy analysis and research to determine the effectiveness of drug programs and policies in accomplishing the *Strategy's* goals;
- Encouraging private sector, State, and local initiatives for drug prevention, treatment, and law enforcement;
- Designating High Intensity Drug Trafficking Areas (HIDTA) and providing overall policy guidance and oversight for the award and management of resources to HIDTAs in support of Federal, State, and local law enforcement partnerships within these areas;
- Operating a Counterdrug Technology Assessment Center (CTAC) to serve as the central counterdrug law enforcement and demand reduction technology research and development organization for the United States government;
- Overseeing the Drug-Free Communities Program, which provides grants to community anti-drug coalitions to reduce substance abuse among our youth;
- Managing a National Youth Anti-Drug Media Campaign designed to prevent youth drug use with messages for youth and their parents and mentors; and
- Coordinating issues of mutual interest with the Office of Homeland Security.

ONDCP's three primary responsibilities include developing the *National Drug Control Strategy*; developing the National Drug Control Budget; and evaluating the effectiveness of the *Strategy*.

National Drug Control Strategy

Pursuant to the Office of National Drug Control Policy Reauthorization Act of 1998, Pub. L. 105-277, ONDCP develops the President's *Strategy* and submits to Congress annual reports on the progress and implementation of the *Strategy*. The *Strategy* and annual reports include:

- Comprehensive, research-based, long-range quantifiable goals for reducing drug abuse and the consequences of drug abuse in the United States; and
- A review of international, Federal, State, local, and private sector drug control activities to ensure that the United States pursues well-coordinated and effective drug control policies at all levels of government.

ONDCP's authorizing statute requires the Office, in preparation of the *National Drug Control Strategy*, to consult with members of Congress, representatives of Federal departments and agencies, State and local officials, and private citizens with expertise in supply reduction and demand reduction. Additionally, the law allows discretion to revise and submit a new *Strategy* at any time.

Annual Strategy Report

Each year the President is required to submit a report on progress in implementing the *Strategy*. This report must include an assessment of:

- Current drug use;
- Reductions in drug availability;
- Changes in drug use consequences;
- Drug treatment capacity;
- The research agenda of the Counterdrug Technology Assessment Center; and
- Private sector initiatives and cooperative efforts between Federal, State and local governments for drug control.

Federal Drug Control Budget

The *Strategy* and annual reports on the progress and implementation of the *Strategy* are intended to present the President's proposed plan of action for Federal drug control efforts. By law, the report includes a proposed federal drug control budget that supports the President's *Strategy*.

The FY 2004 federal drug control budget has been significantly restructured to bring results-oriented management to drug control efforts and shows actual funds found in the President's Budget. To the maximum extent possible, resources displayed in the drug budget directly tie to identifiable line items displayed in the Budget of the President or agency budget justifications for Congress, accompanying the President's Budget. The account structure includes several agencies that already identify 100 percent of their budgets as drug-related. This includes the Drug Enforcement Administration, ONDCP, the Defense Counternarcotics Central Transfer Account, the National Institute on Drug Abuse, and the Interagency Crime and Drug Enforcement Account (ICDE) of the Department of Justice. Other agencies included report their drug funding as a combination of discrete line items from their existing sections of the President's Budget or the accompanying budget justifications presented to Congress. If a line item in an agency's budget has a strong association with drug control, then 100 percent of the line item is included in the drug budget.

The overall budget presentation eliminates several supporting agencies from the drug budget tabulation. Only agencies with a primary drug law enforcement or demand reduction mission are displayed in the drug budget. This new structure limits the budget to those agencies or accounts that have a primary focus on drug control policy.

To implement the new budget proposal and provide the necessary budget oversight ONDCP issued four circulars on May 30, 2002 to the affected national drug control agencies. These circulars include instructions for agencies and bureaus in preparing drug control budget proposals for ONDCP review and certification, reprogramming requests, transferring of drug control funds between accounts, establishing financial plans, and reporting requirements for the annual detailed accounting report.

Budget certification is the statutory process by which ONDCP reviews and shapes drug control budget proposals of National Drug Control Program agencies. ONDCP is required to determine the adequacy of an agency's proposed drug budget to implement the objectives of the *Strategy*. Certification affects the formulation of agency budgets that are incorporated into the President's proposed budget to Congress each year.

The budget must reflect the budget priorities identified in the *Strategy*, priorities that National Drug Control Program agencies are directed to consider in developing new programs. Finally, a budget must reflect the ONDCP Director's program and budget priorities, as defined in ONDCP's annual program and budget planning guidance letters to the National Drug Control Program agencies.



Evaluating the Effectiveness of the Strategy

ONDCP is required to report annually on the efficacy of the *Strategy* in achieving its goals. To meet this requirement, ONDCP is designing a Results Management System that focuses on the two main goals of the *Strategy*—a reduction in drug use by youth and adults. ONDCP plans to identify macro-indicators to assess progress in the three themes of the *Strategy*: stopping drug use before it starts, healing America's drug users, and disrupting the market. The system has a strong programmatic focus since each of the macro-indicators will be supported by program measures reflecting program contributions to these policies. ONDCP Program Teams have begun the process of examining performance and policy issues, working towards enhancing accountability by integrating budget and performance in accordance with the President's Management Agenda.

III. SALARIES AND EXPENSES (\$ in thousands)

A. PROGRAM OVERVIEW

(\$ in thousands)	FY 2002	FY 2003	FY 2004 Request
Salaries & Expenses:			
Operations	\$22,895	\$24,108	\$25,940
National Alliance for Model State Drug Laws 1/	\$1,000	\$0	\$0
Policy Research	\$1,350	\$1,350	\$1,350
Total, Salaries & Expenses	\$25,245	\$25,458	\$27,290
Staffing (FTE)	115	115	125

1/ Funding for the National Alliance for Model State Drug Laws was realigned from the Salaries & Expenses appropriation to the Other Federal Drug Control Programs appropriation in FY 2003. We are not requesting additional resources for this program in FY 2004.

Funding requested for the Salaries and Expenses account provides the personnel compensation and other operational support for the Office of National Drug Control Policy. These funds enable ONDCP to carry out its responsibilities and implement government-wide initiatives in the President's Management Agenda: Strategic Management of Human Capital; Competitive Sourcing; Improved Financial Performance; Expanded Electronic Government; and, Budget and Performance Integration.

1. Strategic Management of Human Capital

In FY 2002, ONDCP reorganized several of its offices. The objective of this reorganization was to better streamline the organization. Two major programs, The National Youth Anti-Drug Media Campaign and the Drug Free Communities Support Program were separated from the Office of Demand Reduction. The National Youth Anti-Drug Media Campaign, given its visibility and its importance to the overall mission of the agency, was made into a separate component. The Drug Free Communities Support Program was realigned under the Office of the Deputy Director. The Financial Management, Administration, and Personnel offices, three previously independent offices and their functions, were combined into a single unit, the Office of Management and Administration. We expect that a more efficient and effective organization will result from these changes.

The ONDCP personnel selection process continues to proceed in a manner consistent with Federal civil service laws and regulations. Rigorous efforts to attract the best and those well respected in their field are targeted to fill critical positions through competitive means.

Action has been taken in the past two fiscal years to implement procedures to identify training needs of the staff. The goal is to improve the effectiveness of personnel in the performance of their duties and to develop individual potential.

Currently, the agency is in the process of revamping the performance management system. Over the next several months, OPM will be working with the agency's component heads and managers to more accurately define the critical elements and performance standards for each employee. This assessment will enhance management flexibility, permit more performance-oriented compensation, identify any skills imbalance and reward a high-quality workforce.

Through its Human Capital Strategy, ONDCP will link its employees to our mission, vision, core values, goals, and objectives.

2. Competitive Sourcing

The Office of National Drug Control Policy fully supports The President's Management Agenda. Because ONDCP is a small agency under the umbrella of the Executive Office of the President (EOP), many functions which larger agencies perform with in-house staff are handled by the Office of Administration, another EOP agency. The Office of Administration performs functions such as procurement, accounting, and certain personnel actions for ONDCP.

ONDCP does, however, procure through competitive-bid contracts, several commercial services that are performed in-house in many agencies. While salary costs may be nearly the same as those for federal employees performing the duties, cost savings are derived in long-term benefit cost savings (health insurance, retirement, and cost of living adjustments).

These contracted services are as follows:

- a. Agency Security Guard Services.** ONDCP is located in a privately-owned building and because of the sensitive nature of the work performed requires security. ONDCP has competitively procured the services of a privately owned security services firm.
- b. ADP/Telecommunication Services.** With the advent of the personal computer, the use of large-scale computers has been largely eliminated, the exception being specialized applications. Still with the hardware and software changing, it is imperative that the agency retain personnel with expertise in ADP/Telecommunications. A privately owned firm has been contracted to perform these services.
- c. Temporary Employees.** As with all organizations ONDCP sometimes finds itself short-handed, and in need of additional administrative personnel. Rather than hire a permanent

employee for a job that may not be required on a year-round basis, ONDCP contracts with temporary duty agencies to provide those services on an “as-needed” basis.

3. Improved Financial Performance

ONDCP is implementing the President’s Management initiative of improved financial performance by serving our customers with more timely web-based technologies; enhancing the usefulness of financial reporting by integrating financial and performance information; and, ensuring reliability of financial information by obtaining clean audit opinions.

a. Improve Timeliness. One of ONDCP’s core missions is to manage the HIDTA program, which includes serving hundreds of grantees across the country. We are responsible for the entire grant process, including the reimbursement of grant funds. We are currently using web-based accounting system developed by the Office of Administration to answer payment inquiries from grantees. Because this accounting system is updated daily, we can provide our customers with the latest information.

b. Enhance usefulness. ONDCP is working towards employing a web-based HIDTA financial database to allow for comparative financial reporting. In addition, the database will provide real-time status of program funding to enhance accountability and fiscal management at the national and regional level. The financial database, when used in conjunction with a performance monitoring system under development, will be an invaluable tool in resource allocation decisions.

c. Ensure Reliability. Beyond the Single Audit reports that are reviewed by ONDCP to ensure that HIDTA grantees have proper compliance and internal controls, we have contracted with KPMG to perform financial audits on HIDTA funds. The first set of final reports for selected grantees and Federal agencies resulted in all unqualified opinions on full-scope audits and no major findings on limited-scope audits.

4. Expanded Electronic Government

ONDCP is implementing the President’s Management initiative of expanded electronic government by sharing information quickly and promoting digital signatures for transactions between federal and state and local governments and automating internal processes by disseminating best practices across agencies.

a. Sharing Information Quickly and Promoting Digital Signatures. The advantages of a web-based HIDTA financial database are:

- Allowing all HIDTA fiduciary agencies (federal, state and local) to view the most up-to-date budget information, including all approved reprogramming;
- Allowing all HIDTA grantees to view the latest grant information, including approved extensions; and,

- Promoting digital signatures on all requests, including reprogramming and extension, to facilitate reduction of paperwork and reduction of turnaround time for approval of requests.

b. Disseminating Best Practices. After review of the first set of HIDTA fiscal audits performed by KPMG, we are able to share the best practices with the HIDTAs and fiduciary agencies. By sharing knowledge regarding compliance and internal controls, we can be ensured of the accountability of HIDTA funds.

5. Budget and Performance Integration

A critical issue for the agency is to affect a shift in institutional culture to emphasize results-based management, the President's Management Agenda, and adherence to GPRA requirements. As a results-oriented agency, ONDCP's own budget and performance information will be integrated in the formulation of the annual budget. This process was initiated in FY 2001 to consider budget requests in the context of performance information on the relevant programs and activities. The process was refined in FY 2002 and each program budget request was preceded by a program review to examine the performance measures and data used for results. The FY 2004 submission is the first year for ONDCP to present a combined budget, performance plan, and performance report document. By forging the link between resources and performance, our budget request will show what is planned and has been accomplished with the funding requested. ONDCP will continue to refine this process of integrating budget and performance issues. ONDCP would appreciate the Committee's suggestions in this regard.

ONDCP's FY 2004 Budget Request includes support cost tables for each of the four programs on which we have provided GPRA information. These tables, which break out the costs for salaries, travel, printing and other miscellaneous items, when viewed in conjunction with the FY 2004 budget request, give an estimate of the approximate true cost of the program.

B. APPROPRIATIONS LANGUAGE

General and special funds:

Salaries and Expenses (Including Transfer of Funds)

For necessary expenses of the Office of National Drug Control Policy; for research activities pursuant to the Office of National Drug Control Policy Reauthorization Act of 1998 (21 U.S.C. 1701 et seq.); not to exceed \$10,000 for official reception and representation expenses; and for participation in joint projects or in the provision of services on matters of mutual interest with nonprofit, research, or public organizations or agencies, with or without reimbursement, \$27,290,000; of which \$1,350,000 shall remain available until expended for policy research and evaluation: *Provided*, That the Office is authorized to accept, hold, administer, and utilize gifts, both real and personal, public and private, without fiscal year limitation, for the purpose of aiding or facilitating the work of the Office.

C. SALARIES & EXPENSES FY 2004 BUDGET REQUEST

Narrative Overview – Salaries and Expenses

The Fiscal Year 2004 budget request for Salaries & Expenses is \$27,290,000 and 125 FTE. The requested resources reflect an increase of \$1,832,000 above the FY 2003 budget request. The request consists of resources to fund and support 125 FTE (\$25,940,000) and Policy Research (\$1,350,000).

Budget Initiatives

ONDCP Operations

The request for Operations is \$25,940,000 and 125 FTE, an increase of \$1,832,000 over the FY 2003 budget request. A summary and justification for the increase are listed below:

<u>Description of Increased Request</u>	<u>Increase Funding</u> <u>(\$ in thousands)</u>
Personnel Compensation & Benefits:	
Personnel Compensation (To fund a total of 125 FTEs for FY 2004.)	\$1,198
Civilian Personnel Benefits (To fund a total of 125 FTEs for FY 2004.)	\$369
Benefits for Former Personnel	\$0
Subtotal, Personnel Compensation & Benefits	\$1,567
Travel	\$18
Transportation of Things	\$1
Rental Payments to GSA	\$69
Communications, Utilities, and Misc.	\$18
Printing and Reproduction	\$11
Other Contractual Services	\$124
Supplies and Materials	\$6
Representation Fund	(\$2)
Equipment	\$20
Total	\$1,832

Totals may not add due to rounding.

Personnel Compensation

ONDCP's FY 2004 request includes resources to support 125 FTEs, an increase of 10 FTEs over the FY 2003 request. This FTE increase is requested to offset the loss of many of the 30 military detailee positions the Department of Defense has supported at ONDCP since 1996. (The Department of Defense, as outlined in a December 28, 2001 memorandum, adheres to a general policy that approves of requests for details only on a reimbursable basis. Exceptions to this policy are granted only in the most compelling circumstances when the agency head has certified that the net benefit of the detail accrues to the Department of Defense.)

This 10 FTE increase, along with distributing additional responsibilities among existing staff, will allow ONDCP to absorb the detailee staffing loss and meet its statutory responsibilities. The level of staff at 125 FTE will enable ONDCP to assess and respond to the drug threat facing the nation. ONDCP will be able to monitor agency implementation of the *National Drug Control Strategy* programs and improve interagency coordination. ONDCP will be able to evaluate programs and identify those that work. Additionally, ONDCP will be able to provide policy guidance and oversight to the Counterdrug Technology Assessment Center (CTAC), High Intensity Drug Trafficking Area (HIDTA), and Other Federal Drug Control Programs.

In Salaries & Expenses (operations), ONDCP is requesting funding to support sufficient resources to maintain the current services level for operational requirements and necessary administrative requirements.

ONDCP Policy Research

ONDCP is requesting \$1,350,000 for policy research in FY 2004, the same funding level as requested in the FY 2003 budget request. This funding level is requested to support an expanded role for policy research and serves as a better resource in developing the policy process. The funding is requested to conduct research in support of developing and implementing a Market Model approach to the supply and demand of illicit drugs. The goal is to model, measure, and assess the dynamics of these markets to identify sectors that are vulnerable to disruption and dismantling. As described in the 2002 National Drug Control Strategy, the Market Model is the overarching conceptual framework for guiding the development and implementation of policy and programs by the drug control community.

ONDCP conducts research to develop and assess drug policy, identify and detail changing trends in the supply of and demand for illegal drugs, monitor trends in drug use and identify emerging drug problems, assess program effectiveness, and improve the sources of data and information about the drug situation. Funding for policy research has supported analyses that result in the following publications: the Economic Costs of Drug Abuse in the United States, the Availability of Cocaine and Heroin reports, Measuring the Deterrent Effect of Enforcement Operations on Drug Smuggling, the Price and Purity of Illicit Drugs, What America's Users Spend on Illegal Drugs, and the Pulse Check.

The requested funds also will support a wide range of continuing policy research areas, such as:

a. Drug-Flow Modeling - In FY 2002, the Attorney General requested that consensus estimates of the availability of cocaine, heroin, marijuana, and methamphetamine be produced through an interagency process for use in performance measurement. ONDCP is currently participating in the resulting interagency process to estimate the flow of drugs, from source country to distribution in the United States. The methodology and availability estimates produced under ONDCP's previous policy research contracts have played a central role in the development of this consensus methodology. ONDCP has offered to institutionalize this consensus methodology through the existing policy research vehicle.

b. Price and Purity of Illicit Drugs - This yearly project generates quarterly and annual illicit drug prices and purities for the United States and selected cities. Results of the project are used to monitor market trends and support other research projects related to the illicit drug market and will be particularly important to the Market Model project. Statistical modeling based on data from the DEA, is used to estimate typical prices for standardized purchases of heroin, cocaine, and marijuana. The project includes price trends for standardized purchases over set time periods.

c. Retail Value of U.S. Drug Market: What America's Users Spend on Illegal Drugs. The report is now prepared annually and estimates the amount of drugs available in the United States and how much Americans spend to purchase them. The report focuses on the retail sales value of cocaine, heroin, marijuana, and other illegal drugs. It also currently provides ONDCP's estimates of the size of the heavy chronic user population.

d. Economic Cost to Society of Illicit Drugs: Estimates of the economic costs of drug abuse have been produced sporadically over the past three decades by NIDA and NIAAA; their most recent report was published in 1998 for 1992 data. In 2001, ONDCP prepared a report that updated these earlier estimates and extended the time series through 1998. Estimates are obtained for health, lost productivity, and other drug-related costs. These costs also can be aggregated to obtain drug-related criminal justice costs. ONDCP plans to update this report every other year and to present the estimates in a manner consistent with the revised Drug Control Strategy Budget Summary (i.e., costs will be categorized as either direct or indirect consequences of the use and/or trafficking of illicit drugs).

e. State- and County-level drug use/consequences data: This ongoing project identifies and obtains existing/archived data at the state- and county-level to analyze local drug situations. The data are being mapped and will prove useful for planning and research purposes. This project is the source for ONDCP's estimate of the number of drug-related deaths.

f. Western Hemisphere Drug Inventory: In 2001, ONDCP prepared an inventory of drug prevalence, treatment, seizures, arrests, health-related consequences, and drug policy statements from every nation and territory in the Western Hemisphere. Data were obtained from the most recent publications, country web sites, and personal contacts with data experts in each

country/territory. Every data element was documented and referenced in an extensive bibliography. FY 2004 funds will be used to update the inventory and determine whether it is feasible to implement it over the world-wide-web.

g. Operation Breakthrough: ONDCP intends to continue funding DEA's Operation Breakthrough. This project has been critical to our understanding of the cultivation and processing of coca into cocaine (i.e., determining alkaloid leaf yields and processing efficiencies). With the emergence of Colombia as a major supplier of heroin to the United States over the past decade, there is a critical need for analogous information on opium. Earlier this year DEA released the results from the first Colombian heroin study, which was partially funded by ONDCP's policy research program.

h. Pulse Check. This twice-yearly report provides details on current drug use and emerging trends based on qualitative information from the police, ethnographers, and epidemiologists working in the field and providers of drug treatment services across the country. The report contains separate sections on marijuana, cocaine, and heroin markets and patterns of use. ONDCP recently redesigned the Pulse Check to cover more cities, including coverage of HIDTAs, and an enlarged focus on law enforcement to obtain more detailed information on local drug markets and treatment to collect information on capacity and barriers to obtaining treatment.

Gifts and Donations

The FY 1990 appropriation for Salaries and Expenses established a Gift Fund (GF) for ONDCP. The GF is a trust fund into which all private gifts and donations made to ONDCP for the purpose of aiding or facilitating the work of the Office are deposited.

D. SUMMARY TABLES OF PROGRAM AND FINANCING

Salaries and Expenses (\$ in thousands)

		FY 2002	FY 2003	FY 2004 Request
	Program by activities:			
00.01	Salaries & Expenses	\$22,895	\$24,108	\$25,940
00.01	Policy Research	\$1,350	\$1,350	\$1,350
00.01	National Alliance for Model States Drug Laws	\$1,000	\$0	\$0
10.00	Total Obligations	\$25,245	\$25,458	\$27,290
	Financing:			
21.40	Unobligated Balance Available, Start of Year			
24.40	Unobligated Balance Available, End of Year			
25.00	Unobligated Balance Expiring			
25.00	Unobligated Balance Rescinded/Transferred			
39.00	Budget Authority	\$25,245	\$25,458	\$27,290
	Budget Authority:			
40.00	Appropriation	\$25,245	\$25,458	\$27,290
41.00	Transferred to Other Accounts			
42.00	Transferred from Other Account			
43.00	Appropriation (adjusted)	\$25,245	\$25,458	\$27,290
	Relation of Obligations to Outlay:			
71.00	Obligations Incurred, Net	\$25,245	\$25,458	\$27,290
72.40	Obligated Balance, Start of Year			
74.40	Obligated Balance, End of Year			
90.00	Operations Outlays			
90.00	Total Outlays			

(SUMMARY TABLES OF PROGRAM AND FINANCING, Con't)

Gifts And Donations

		FY 2002	FY 2003	FY 2004 Request
	Financing:			
21.40	Unobligated Balance Available, Start of Year	\$189	\$189	
24.40	Unobligated Balance Available, End of Year	\$189		
60.00	Budget Authority (Appropriation) (Permanent/Indefinite)			
	Relation of Obligations to Outlays:			
71.00	Obligations Incurred, Net			
72.40	Obligated Balance, Start of Year			
74.40	Obligated Balance, End of Year			
89.40	Budget Authority (net)			
90.00	Outlays (net)			

E. SUMMARY TABLES OF PERSONNEL

PERSONNEL	FY 2002	FY 2003	FY 2004 Request
Total Number of Appropriated Full-Time Permanent Positions	115	115	125
Total Compensable Workyears:			
Full-Time Equivalent Employment	115	115	125
Full-Time Equivalent of Overtime and Holiday Hours	1	1	1

F. DETAIL OF PERMANENT POSITIONS

Permanent Positions	FY 2002	FY 2003	FY 2004 Request
EX 1	1	1	1
EX 2	1	1	1
EX 3	3	3	3
SES	13	13	13
GS-15	26	26	26
GS-14	35	35	40
GS-13	11	11	16
GS-12	3	3	3
GS-11	5	5	5
GS-10	5	5	5
GS-9	6	6	6
GS-8	1	1	1
GS-7	2	2	2
GS-5	1	1	1
GS-4	1	1	1
GS-3	1	1	1
Total Appropriated Permanent Positions	115	115	125

G. SUMMARY TABLES OF BUDGET AUTHORITY BY OBJECT CLASS
(\$ in thousands)

Salaries And Expenses - Operations

	Salaries and Expenses Operations	FY 2002	FY 2003	FY 2004 Request
	Personnel Compensation:			
11.1	Full-Time Permanent	\$9,156	\$10,145	\$11,343
11.3	Other than Full-Time Permanent	\$62	\$62	\$62
11.5	Other Personnel Compensation	\$160	\$408	\$408
11.8	Special Personal Services Payments	\$478	\$88	\$88
11.9	Total Personnel Compensation	\$9,856	\$10,703	\$11,901
12.1	Civilian Personnel Benefits	\$2,022	\$2,278	\$2,647
13.0	Benefits for Former Personnel	\$11	\$14	\$14
	Total Comp. & Benefits	\$11,889	\$12,995	\$14,562
21.0	Travel & Transportation of Persons	\$776	\$776	\$794
22.0	Transportation of Things	\$37	\$37	\$38
23.1	Rental Payments to GSA	\$2,455	\$2,522	\$2,591
23.3	Comm., Util., & Misc. Charges	\$790	\$767	\$785
24.0	Printing & Reproduction	\$470	\$488	\$499
25.0	Other Contractual Services	\$5,342	\$5,385	\$5,509
26.4	Representation Funds	\$10	\$12	\$10
26.0	Supplies & Materials	\$266	\$266	\$272
31.0	Equipment	\$860	\$860	\$880
99.0	Total Obligations	\$22,895	\$24,108	\$25,940

Salaries and Expenses - Research and Development

		FY 2002	FY 2003	FY 2004 Request
40.04	National Alliance for Model State Drug Laws 1/	\$1,000	\$0	\$0
40.05	Policy Research	\$1,350	\$1,350	\$1,350
99.0	Total Budget Authority	\$2,350	\$1,350	\$1,350

1/ Funding for the National Alliance for Model State Drug Laws was moved to the Other Federal Drug Control Programs appropriation in FY 2003.

(SUMMARY TABLES OF BUDGET AUTHORITY BY OBJECT CLASS, Con't)
(\$ in thousands)

Gifts and Donations

	GIFTS AND DONATIONS	FY 2002	FY 2003	FY 2004 Request
	Personnel Compensation:			
11.1	Full-Time Permanent			
11.3	Other than Full-Time Permanent			
11.5	Other Personnel Comp.			
11.8	Special Personal Services Payments			
11.9	Total Personnel Compensation	\$0	\$0	\$0
12.1	Civilian Personnel Benefits			
	Total Comp. & Benefits	\$0	\$0	\$0
21.0	Travel & Transportation of Persons			
22.0	Transportation of Things			
23.1	Rental Payments to GSA			
23.3	Comm., Util., & Misc. Charges			
24.0	Printing & Reproduction			
25.0	Other Services	\$189	\$0	\$0
26.0	Supplies & Materials			
31.0	Equipment			
99.0	Total Obligations	\$189	\$0	\$0

H. EXPLANATION OF CHANGES BY OBJECT CLASS
(\$ in thousands)

Personnel Compensation & Benefits	FY 2003	FY 2004 Request	Net Change
	\$12,995	\$14,562	\$1,567

Funds in this object class provide full-year salaries and benefits for 125 FTE (including a full complement of EX positions), overtime pay, transportation subsidy, and support the President's management agenda of Strategic Management of Human Capital.

Travel and Transportation	FY 2003	FY 2004 Request	Net Change
	\$776	\$794	\$18

The requested funds will cover the full-year cost of travel for ONDCP staff and invitational travel.

Transportation of Things	FY 2003	FY 2004 Request	Net Change
	\$37	\$38	\$1

This object class includes express mail, UPS, and miscellaneous mover expenses.

Rental payments to GSA	FY 2003	FY 2004 Request	Net Change
	\$2,522	\$2,591	\$69

This amount reflects the full year cost of office space at rates established by the General Services Administration for office space in the Washington, D.C. central business district.

Communications, Utilities, and Miscellaneous Charges	FY 2003	FY 2004 Request	Net Change
	\$767	\$785	\$18

This amount will fund telephone and telecommunications cost, postage, and ADP equipment.

H. EXPLANATION OF CHANGES BY OBJECT CLASS (CONT.)
(\$ in thousands)

Printing and Reproduction	FY 2003	FY 2004 Request	Net Change
	\$488	\$499	\$11

This amount will provide for basic printing needs and for the publication of the Annual Report and *National Drug Control Strategy*, the Consolidated National Drug Control Budget, and the Counterdrug Research and Development Blueprint and Reports.

Other Services	FY 2003	FY 2004 Request	Net Change
	\$5,385	\$5,509	\$124

These resources will fund contract services including conferences, clearinghouse services, ADP software development, equipment maintenance contracts, facilities contract to operate ONDCP's telecommunications center, personnel training, Director's protection, and contract building security services.

Supplies and Materials	FY 2003	FY 2004 Request	Net Change
	\$278	\$282	\$4

These funds will pay for the estimated full-year cost of acquiring supplies, materials, and publications for ONDCP. This also includes representation funds.

Equipment	FY 2003	FY 2004 Request	Net Change
	\$860	\$880	\$20

The resources requested would provide for the purchase of required office equipment (including replacement equipment), such as Personal Computer Systems, ADP equipment and secure communications equipment.

Total All Object Classes	FY 2003	FY 2004 Request	Net Change
	\$24,108	\$25,940	\$1,832

IV. COUNTERDRUG TECHNOLOGY ASSESSMENT CENTER (CTAC)

FY 2004 ANNUAL PERFORMANCE PLAN, FY 2004 BUDGET REQUEST, AND FY 2002 ANNUAL PROGRAM PERFORMANCE REPORT

A. PROGRAM OVERVIEW

The Counterdrug Technology Assessment Center (CTAC) was established by the Counter-Narcotics Technology Act of 1990 (Public Law 101-510) and re-authorized in 1998 (Public Law 105-277) to serve as the central counterdrug technology research and development organization for the United States government. CTAC sponsors a counterdrug research and development program to advance the technological capabilities of federal drug control agencies responsible for supply and demand reduction activities. In 1998, Public Law 105-61 appropriated funds for the Technology Transfer Program (TTP) to transfer state-of-the-art, affordable, easily integrated, and maintainable tools to enhance the capabilities of state and local law enforcement agencies on counterdrug missions.

CTAC sponsors a Counterdrug Research and Development (R&D) Program to advance the technological capabilities of federal drug agencies and the TTP. CTAC provides oversight, coordination and outreach activities for both supply and demand reduction technology research and development initiatives. CTAC identifies and defines the short-, medium-, and long-term scientific and technological needs of federal, state, and local drug control agencies. CTAC's annual *Counterdrug Research and Development Blueprint Update* reports progress on CTAC-sponsored technology initiatives and documents those R&D projects being pursued by each drug control agency. CTAC uses technology workshops, technical symposia and conferences to promote the free exchange of information throughout the counterdrug scientific, technical and user communities.

CTAC supports both demand and supply reduction efforts. For demand reduction, CTAC efforts improve the medical technology and facilities available to research scientists for exploring and understanding the underlying causes of substance abuse and addiction. For supply reduction, CTAC supports the development of technology for federal, state and local law enforcement agencies (LEAs) with drug control missions and, as appropriate, provides successfully developed technologies to the TTP. From FY 1998 through FY 2002, the TTP delivered 4,811 pieces of equipment to 3,898 state and local LEAs and provided training with the delivery of each technology.

CTAC is a model program that accomplishes its mission cost-effectively. Law enforcement organizations,¹ the U.S. House,² and the U.S. Senate³ support this contention.

¹ Both the International Association of Chiefs of Police and the National Sheriffs' Association recognize CTAC's TTP as a model program.

² The "CTAC technology transfer program has been enormously successful, demonstrating the impact that can be achieved with a relatively small level of funding by transferring mature, tested technology that has practical and immediate usefulness to local and State law enforcement agencies that would otherwise not have access to such tools." House Report 107-52 to Treasury, Postal, Executive Office of the President, and certain Independent Agencies for fiscal year ending September 30, 2002.

This FY 2004 Performance Plan and Budget Request charts the course of action and resources necessary for successful accomplishment of the Counterdrug R&D Program and the Technology Transfer Program goals. The Annual Program Performance Report following the plan and budget request documents CTAC accomplishments for FY 2002.

B. MISSION STATEMENT

The Counterdrug Technology Assessment Center mission is to serve as the central counterdrug technology research and development organization of the U.S. Government.

C. FY 2004 PERFORMANCE PLAN

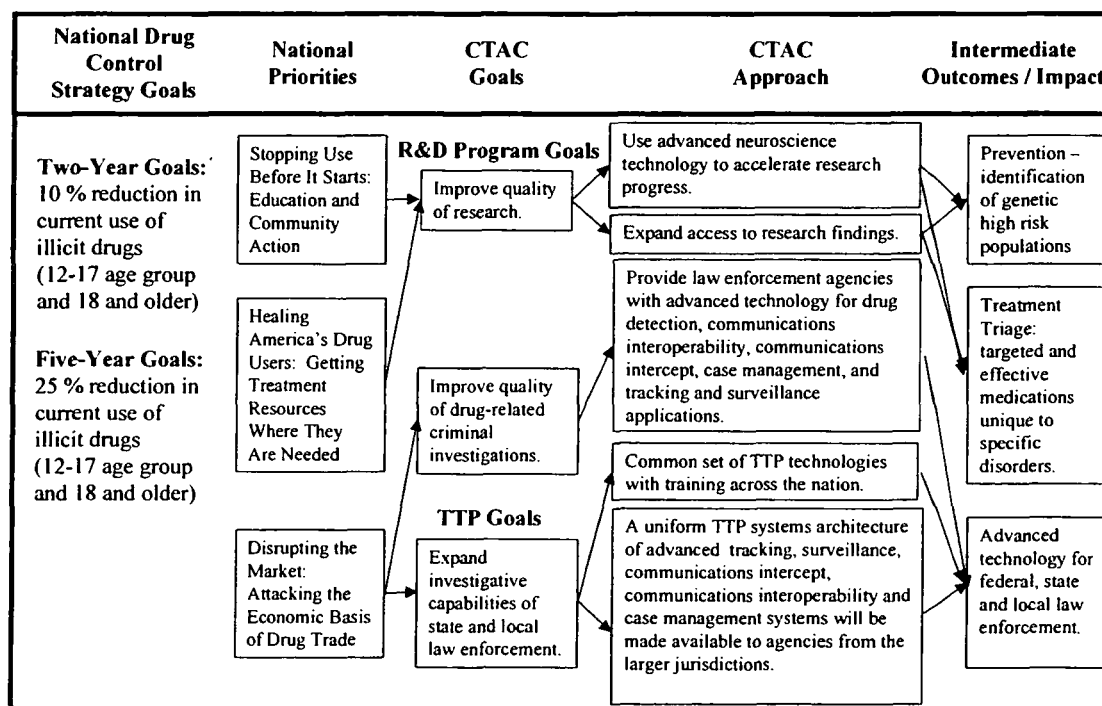
Performance Planning - Developing sound technology to support the *National Drug Control Strategy (Strategy)* is critical to meet the complex challenges posed by the trafficking and abuse of illicit drugs. CTAC's continued efforts are vital to an array of demand-reduction and supply-reduction technology initiatives that expand our knowledge of the science behind prevention and treatment and improve drug interdiction and law enforcement capabilities.

CTAC's strategic goals were developed in concert with the *Strategy*'s goals and national priorities and the relationship of CTAC's goals to the national goals is shown in Figure 1. Program activities fall into two categories: the Counterdrug R&D Program and the Technology Transfer Program. Figure 1 provides an overview of CTAC's goals for the program activities: (1) improve the quality of research, (2) improve the quality of drug-related criminal investigations and (3) expand investigative capabilities of state and local law enforcement.

3 Praising CTAC, the Senate noted that it, "fully supports the continuation of this program and ... believes that this program demonstrates the best that the Federal Government has to offer to State and local law enforcement in their efforts to combat drug related crimes." Senate Report 107-57 to Treasury and General Government Appropriations Bill, 2002.

Figure 1⁴

CTAC Goals Related To National Goals And Priorities



Through the Counterdrug R&D Program and, in conjunction with the National Institute on Drug Abuse (NIDA), over the next ten years CTAC will improve technology to enable world-class research scientists to understand the changes in the brain that result in addiction and what can be done to reverse or mitigate the process. Armed with this technology and knowledge, research scientists operating under grants from NIDA will be able to identify prevention methods for reducing drug abuse and addiction among high risk populations and to develop effective medications for specific disorders. Both the quality and quantity of research will be improved.

Counterdrug Research and Development (R&D) Program

The strategic planning for the Counterdrug Research and Development (R&D) Program includes the following functions:

⁴ An "outcome" measure is "an assessment of the results of a program compared to its intended purpose." *Office of Management and Budget: Primer on Performance Measurement* (Revised February 28, 1995). An intermediate outcome is defined as a "measurement of incremental progress toward a specific outcome goal." *Ibid.* As CTAC's goals are aligned with long-term efforts, outcomes discussed are largely intermediate in nature.

- Oversight, Coordination, and Outreach
- Demand Reduction R&D Program
- Supply Reduction R&D Program

Oversight, Coordination and Outreach. For oversight functions, CTAC identifies and defines the short-, medium- and long-term scientific and technological needs of federal, state and local drug control agencies. This is accomplished through annual meetings of the Interagency Working Group for Technology (IAWG-T) which is comprised of representatives from each of the federal drug control agencies. With CTAC coordination, IAWG-T participants produce an updated listing of priority scientific and technological needs by technology area and agency, a listing of drug-related R&D projects being sponsored by each agency, and the Annual Report (required by Public Law 105-85) on the Development and Deployment of Narcotics Detection Technologies. The IAWG-T last met in October 2002.⁵

CTAC publishes an annual report, the *Counterdrug Research and Development Blueprint Update*, to report progress on CTAC-sponsored technology initiatives and to document those R&D projects being pursued by each drug control agency. CTAC outreach activities include technology workshops, technical symposia and conferences. These CTAC-sponsored activities promote the free exchange of information throughout the counterdrug scientific, technical and user communities. Outreach activities also provide another mechanism to create awareness of the R&D programs, and to oversee and coordinate counterdrug technology initiatives throughout the scientific and academic communities with federal, state and local drug control agencies.

Demand Reduction R&D Program. CTAC efforts improve the medical technologies and facilities available to research scientists for exploring and understanding the underlying causes of substance abuse and addiction. This area of work continues to grow in significance and scope as the "niche" for CTAC to support NIDA researchers expands from brain imaging technology to the development of new bioinformatic models and advanced technologies to measure gene expression.

Working with NIDA, CTAC stimulates technological advancements to support neuroscience. Specifically, CTAC sponsors efforts to improve the performance characteristics of imaging systems, and to increase the scientific community's understanding of the genetic and environmental risk and protective factors that can prevent drug abuse and addiction. The Demand Reduction R&D Program supports the expansion of advanced neuroimaging research facilities and training of research teams who are dedicated to studies of drug abuse and therapeutic medications. These neuroimaging research equipment suites and facilities are equipped with high-resolution positron emission tomography, functional magnetic resonance imaging, brain scan image processing and interpretation, and other noninvasive imaging support technologies.

⁵ Participating agencies included the Drug Enforcement Administration (DEA), the Transportation Security Administration (TSA), the U.S. Customs Service, the U.S. Border Patrol, the Immigration and Naturalization Service, the National Institute of Justice Office of Science and Technology (NIJ/OST), the Department of Defense Counterdrug Technology Development Program Office, the Federal Bureau of Investigation (FBI), the Agricultural Research Service and the U.S. Coast Guard.

With this technology, researchers are able to observe the drug's metabolic and chemical processes, to map brain reward circuitry, and to analyze interactions with potential therapeutic medicines.

CTAC also provides the infrastructure to share neuroscientific data among research teams across the nation working on the prevention and treatment of drug abuse. To accelerate progress, each team will be linked to a central data backbone/clearinghouse so that images, data and research findings can be shared and exchanged with participating research teams at other facilities.

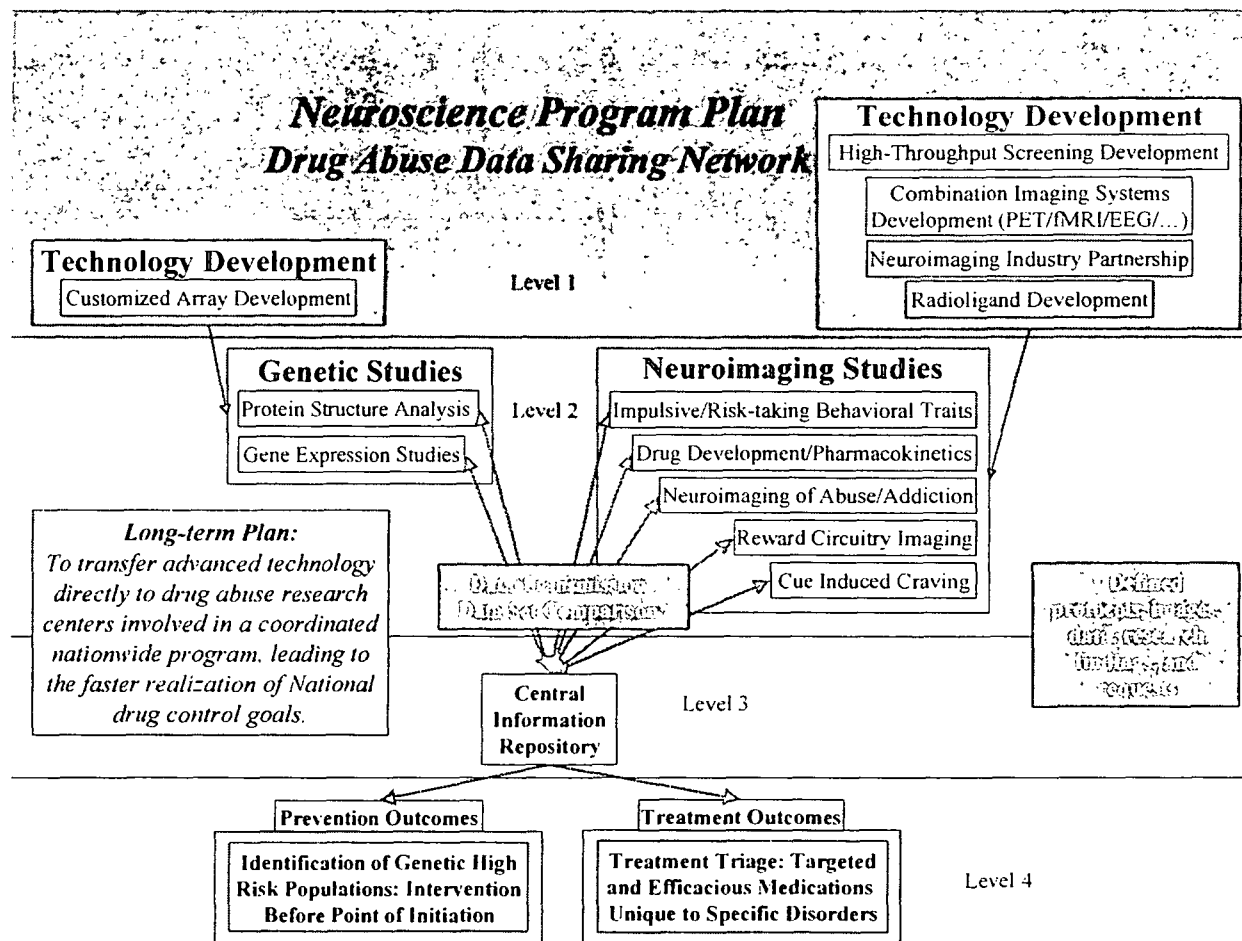
Recent progress in drug abuse research has involved a change in focus to how drugs affect neuronal function over the long-term; while in the past, research focused upon individual components of the brain, today's research emphasizes a more systemic view. An illicit drug's immediate impact on neurons in the brain is not identical to the enduring changes seen in addicts. Chronic exposure to a drug causes a complex cascade of changes in neuronal functioning, which can manifest as changes in gene expression within individual cells as well as in changes in interactions between neurons, or combinations thereof. Investigations of these multifaceted changes in the brain's chemistry and circuitry will require moving beyond simplistic drug-receptor models of the past.

Bioinformatics is vital for organizing the enormous number of variables that may cause the transformation from an independent-user to a dependent-user.⁶ Various forms of drug abuse, variable genetic backgrounds, and environmental variations all need to be considered. Array and sequencing technologies to do so are important to relate differential gene expression to positional information in the genome and the more complex biochemical and functional pathways. This information will be used to identify correlations with any genetic predisposition to abuse drugs, differential response to drugs due to genomic variables, and possible relationships to known linkages with drug abuse. CTAC will sponsor innovative applications of bioinformatics technology in support of gene expression research related to drug abuse and addiction.

The following chart (Figure 2) illustrates the long-term plan for CTAC's demand reduction efforts with a depiction of the various areas of technology development and research included in the neuroscience development program (R&D Program). Level 1 of the chart addresses near term improvements to existing technology in support of treatment for drug users. Level 2 highlights a focus on leading-edge technology to determine causality as to why particular individuals are more likely than others to become drug users. Finally, Levels 3 and 4 depict the approach for storage and distribution of data to researchers.

⁶ Bioinformatics, also described as "computational biology" is an emerging field that "addresses problems related to the storage, retrieval and analysis of information about biological structure, sequence and function." R. Altman. A Curriculum for Bioinformatics: The Time is Ripe. *Bioinformatics* 14(7):549-550, 1998.

Figure 2



Supply Reduction R&D Program. The supply reduction R&D program will address broad-based, multi-agency needs that transcend the requirements of any single agency, and will concentrate on those applications that are potential candidates for the TTP. The program will also explore emerging technologies to support communications interoperability and case building to enable safer, more effective drug crime investigations. This will improve the quality of drug-related criminal investigations and will expand those technologies available for the TTP. CTAC's R&D support to federal, state and local law enforcement is based upon priority scientific and technological needs reported by the IAWG-T.

Nonintrusive inspection technology continues to play an important role in safeguarding our borders from the flow of illicit drugs and terrorist devices. To examine shipments as they enter the country, innovative concepts for identifying and examining cargo, containers and conveyances will be developed to improve these capabilities over the next five years. Plans include continuing work on advancements in hand-held devices to detect drug particles and vapor.

Technologies that improve the capabilities of police officers, narcotics investigation units, and prosecuting attorneys to apprehend and successfully prosecute drug traffickers will also be pursued. New techniques and technology concepts will be evaluated for improving communications interoperability, tracking and surveillance capabilities, and case management tools to share drug crime tactical and investigative information.

This area of work also includes activities for testing and evaluating system prototypes produced under the R&D projects. Technology testbeds have been established for user personnel to work hand-in-hand with developing scientists and engineers to assure that new systems or technical advancements can be incorporated into the operational environment without disruption. Test and evaluation activities will include applications that can improve the detection of explosives, radioactive materials and other contraband of interest to the Department of Homeland Security.

After these systems are tested and proven at the federal level, they become candidates for use by state and local law enforcement agencies through the TTP.

Technology Transfer Program. The strategic planning for the TTP includes the following major thrusts and unique characteristics:

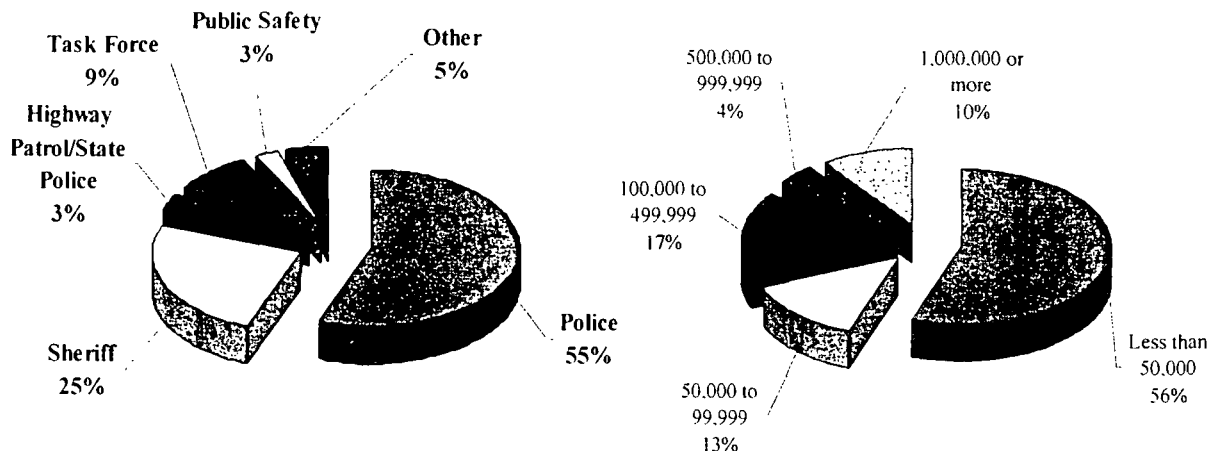
- Uniform Set of Technologies
- Unique Application Process
- Training and Outreach Emphasis
- Follow Up and Follow Through

Uniform Set of Technologies. The TTP makes available to state and local LEAs cutting-edge, easily integrated and maintained drug crime-fighting technologies. Through the TTP, the technology areas available include information technology and analytical tools, communications, tracking and surveillance, and drug detection devices.⁷ CTAC will continue to expand and upgrade the crime-fighting equipment available to state and local LEAs across the nation. A uniform set of advanced technologies with training will be provided to agencies serving smaller jurisdictions, while a uniform architecture for tracking, surveillance, phone intercept, and case building systems will be made available to agencies serving larger jurisdictions.⁸ See Figure 3 for a depiction of TTP deliveries by agency type and jurisdiction size.

⁷ The catalog of available TTP technologies may be found at www.epgctac.com.

⁸ Over time, the TTP catalogue of law enforcement technologies is increasingly recognized for its set of standard tools to be used across many law enforcement agency (LEA) jurisdictions. Standardization of technologies across LEAs creates considerable economies in terms of personnel training and rotation. For example, as one law enforcement officer moves from one position to another, that officer's replacement will likely already be familiar with the previous officer's technological tools. Also, as an officer moves from one LEA to another (e.g., a smaller force to a larger one), that officer will more likely be familiar with the new agency's technological tools as are standardized, or common, with other agencies.

Figure 3. Deliveries By Agency Type / Population Size -FY 1998 - 2002



Over the next two years, the TTP will work to create a uniform systems architecture for advanced tracking, surveillance, communications intercept, communications interoperability, and case management systems for the state and local law enforcement community. This expanded investigative capability will enable those agencies to conduct more sophisticated investigations.

Training and Outreach Emphasis. A central characteristic of the TTP is that user training is also provided with the delivery of each technology with no out-of-pocket costs for the agency.⁹ The TTP includes outreach activities such as regional workshops to describe those items available from its catalogue. These outreach activities are designed to educate attending agencies as to the process for submission of an application to the TTP.

The TTP's approach to training stems from the knowledge that technologies are tools and not in and of themselves solutions for law enforcement problems. Technology transfer efforts that focus primarily upon the technologies miss the point that technologies are only part of the law enforcement equation. The human component must be addressed as well. As a law

⁹ A typical police department spends 85 percent of its budget on salaries and personnel costs, leaving little funding to procure state-of-the art drug-crime fighting technologies. CTAC's TTP makes such procurement possible. See, Coleman, Jennifer, *Davis: \$10 billion in budget cuts projected*, The Associated Press, December 6, 2002 (quoting Arroyo Grand Police Chief Rich TerBorch who says of his department, "[w]e're essentially a service agency that's very labor intensive. About 85 percent of our budget is centered around people."). See also, <http://www.co.nassau.ny.us/police/stats.htm> (describing the Nassau County New York Police Department's historical spending on salaries and fringe benefits totaling more than 85 percent of expenditures.). A number of other police department budgets indicate a similar trend in spending. See, <http://home.naxs.com/kpdweb/budget.htm> (detailing the Kingsport, Tennessee Police Department's budget for 2001-2002 that called for spending 87 percent of its budget on personnel and benefits with the remaining 13 percent designated for operating costs). See also, <http://www.ci.sat.tx.us/sapd/infobudget.asp> (noting that in FY02, the San Antonio, TX Police Department also spent 85 percent of its budget on "Personal Services").

enforcement officer, if you do not fully understand and appreciate the use of a particular technology, you will most likely be unwilling or unable to use it. Officer training will lead to routine use of technologies and best ensure successful technology deployment.¹⁰ The TTP's approach also takes into account the realization that training is not a "one shot deal." Training sessions for TTP catalog equipment are provided regularly throughout the year to provide ample opportunity for first-time and refresher equipment use instruction.

This hands-on training is required *before* any equipment is delivered. Training is provided to each recipient by the commercial vendor and by law enforcement officers who use the equipment in daily operations. In some cases certification for the operation of the equipment (e.g., thermal imagers) is provided as well. Regularly scheduled follow-ups with recipient agencies serve to identify gaps in training. Such gaps are remedied with additional follow-on training as required to ensure full utilization of transferred technologies. In addition, follow-up by the program office assures proper employment of the technologies and helps the TTP assess the technology effectiveness in the field, completing the TTP loop that began with a link to technology R&D efforts.

Application Process. Applications to the TTP are reviewed on a first-come, first-served basis, though a submission does not at all guarantee an agency will receive any TTP items. Agencies may begin the application process with the submission of a web-based or hardcopy form. Applicants select up to three available technologies and must respond to questions regarding the need for them.¹¹ A number of checks and balances exist within the application process to ensure the most rational distribution of available technologies. Among these checks and balances is a requirement that the head (e.g., Police Chief) of each agency must endorse the application. In addition, the TTP relies on ten regional law enforcement experts (active-duty law enforcement officers) to review applications.¹² During the application process, TTP experts provide a subjective judgement as to whether:

- the technologies requested will improve the operational capabilities of the requesting department or organization
- the organization has the requisite infrastructure to integrate the technology into its daily operations
- the equipment is too complex for the organization

These experts also have the ability to modify an agency's application by the substitution of one technology with another or to change an applicant's technology rankings. Given CTAC's role within the ONDCP, TTP experts also must judge that an applicant agency faces a significant level

¹⁰ Training provides knowledge that can be put to use by agents in the field. As with other training, this knowledge is subject to the "use it or lose it" principle. Training alone will not guarantee day-to-day use of equipment in the field, but a lack of training will certainly minimize any real chance for successful technology deployment.

¹¹ Applicants rank each of the typically three technologies applied for in order of importance to them.

¹² The TTP's ten regional experts include nationally recognized senior police chiefs and sheriffs who review applications for equipment from agencies within their respective regions.

of drug-related crime and determine that there is a reasonable expectation that the requested technology will be used to support investigations of such crime. State and local law enforcement applications for TTP technologies continue to increase along with awareness of the program.¹³

Follow Up and Follow Through. Five former-senior law-enforcement officials interface directly with recipient agencies to ensure that smooth incorporation of technology is achieved including follow-up and evaluation of deployed technologies. Recipient agencies commit to respond to a variety of feedback requests including 90-, 180-, and 270-day evaluations.

The 90-, 180- and 270-day evaluation forms request specific objective and quantifiable data regarding results achieved with use of TTP equipment. Agencies provide information on the number of cases in which TTP equipment was employed and details of specific operational experience with the technology. In addition, recipients provide subjective comments as to the utility of a particular technology. These subjective comments provide a vital feedback loop for insights into the strengths and weaknesses of the TTP and/or its offered technologies as well as a vehicle for recipients to offer suggestions to improve the program.

TTP evaluations submitted to date indicate that the technologies offered are readily integrated into the operations of state and local agencies. Recipient agencies report that TTP equipment improves counterdrug operations. In general, following receipt of TTP equipment, agencies report an increase in drug-related arrests and seizures and a dramatic improvement in officer safety.

Performance Goals and Indicators. CTAC programs have matured and in FY 2002, a concerted effort was made to formulate a set of goals and measures that are outcome-related rather than output related for FY 2004 and future years. Clearly, outputs are easier to measure than are outcomes. For example, it is a straightforward proposition to provide a count of items distributed by CTAC's TTP. By contrast, it is much more difficult to discern (apart from anecdotal evidence gathered in follow-up efforts) precisely the outcomes achieved using TTP technologies. While anecdotal evidence suggests TTP technologies support reductions in drug-related crime by assisting LEAs in the conduct of investigations that result in arrests, it would not be feasible for CTAC to *prove* that a particular TTP piece of equipment led to a particular arrest.¹⁴ CTAC must therefore rely on evaluation feedback to confirm that delivered equipment is used in regular operations; it is from this feedback that one may make a connection to a decrease in drug crime.

Historical information on the goals for FY 1999 to FY 2003 is included later in the Annual Program Performance Report. Most research efforts are ongoing. CTAC's newly established goals are listed in Figure 4 followed by a timeline of progress necessary from FY 2002 to FY 2004 for accomplishment.

¹³ Many applicants await technology deliveries, pending receipt of additional funding for the TTP. To date in FY 2003, 2,664 agency applications remain pending compared to 699 equipment deliveries.

¹⁴ For example, an arresting officer might be more inclined to attribute an arrest to his or her investigative skills rather than to a particular technology received through the TTP.

Figure 4
FY 2004 Performance Goals and Indicators

Goals	Approach	FY 2004 Targets
Goal 1: Improve quality of drug research.	<p>Use advanced neuroscience technology to accelerate research progress.</p> <p>Expand access to research findings.</p>	<p>Research Capacity</p> <p>Add two new research institutions (for a CTAC total of 11) to the research team.</p> <p>Install two new imaging machines (for a total of 15, including NIDA)</p> <p>Implement information sharing backbone system</p>

Performance Measures

Goal	Approach	Target		
		2002	2003	2004
Goal 1. Improve quality of drug abuse research.	<div>Use advanced neuroscience technology to accelerate research progress.</div> <p>Research capacity</p> <p>Research Institutions</p>			
		Begin	2	2
		Completed (Total)	7	9
	<p>Infrastructure (Imaging Machines)</p> <p>Begin</p> <p>Completed (Total)</p>			
		2	2	2
		9	12*	15*
	<div>Expand access to research findings.</div> <p>Architecture</p> <p>Backbone Development</p> <p>Implementation</p>			

* NIDA IRP received PET in 1996 and will receive microPET and fMRI machines

Goal 2: Improve the quality of drug-related criminal investigations.	Provide law enforcement agencies with advanced technology for drug detection, communications interoperability, communications intercept, case management, tracking and surveillance applications.	Achieve Title III communications intercept capability on commercially available mobile phones ¹⁵
Goal 3: Expand investigative capabilities of state and local law enforcement.	Distribute a common set of TTP technologies with standardized, mandatory training across the nation. Create a uniform TTP architecture for advanced systems.	Increase distribution of TTP technologies to include 30% of state and local law enforcement agencies.

Performance Measures

Goal	Objective	Target		
		2002	2003	2004
Goal 2. Improve quality of drug-related criminal investigations.	Provide law enforcement agencies with advanced technology for drug detection, communications interoperability, communications intercept, case management, tracking and surveillance applications.	• Title III communications intercept capability for commercially available mobile phones		
Goal 3. Expand investigative capabilities of state and local law enforcement.	Common set of TTP technologies with standard training across the nation.	20% (approximately 950 state and local agencies per year)	25%	30%
	A uniform TTP systems architecture of advanced, more complex systems	5% (approximately 400 to 500 state and local agencies per year)	7%	10%

¹⁵ LEAs do not currently have the ability to intercept all mobile phone calls given the array of technologies and standards employed by the wireless carriers. In order to avoid the compromise of LEA efforts, particular carrier technologies for which LEAs may lack full intercept capabilities are not identified.

With regard to the Performance Measures above, the “Common set of TTP technologies” refers primarily to handheld technologies used by the officer on the street. The corresponding percentages refer to the total percentage of the 18,500 state and local LEAs nationwide. For example, by 2004, the TTP’s target is to have distributed handheld technologies to 30 percent of all state and local LEAs.

Means and Strategies

Processes. CTAC also benefits from ONDCP Interagency Agreements with the United States Army Electronic Proving Ground (EPG), Ft Huachuca, Arizona, and the United States Navy Space and Naval Warfare Systems Center (SPAWAR), San Diego, California. EPG and SPAWAR provide contracting and procurement support services, as well as technical and program management functions for CTAC-sponsored projects. The contracting agents publish Broad Agency Announcements and Sources Sought Announcements from their parent organizations (U.S. Army and U.S. Navy) to solicit proposals for innovative concepts and approaches from industry, academia and national laboratories. They also coordinate the technical review and evaluation of these proposals with representatives from the federal, state and local user agencies. The contracting agents then negotiate and manage contracts with the successful vendors. Quarterly reviews are held to review progress over the term of the contract. CTAC meets with the contracting agents monthly to review the overall program status and progress.

EPG manages the TTP contracting/technical program office. This program office employs a comprehensive “cradle-to-grave” approach. The TTP management team fills agency requests from bulk order contracts, conducts outreach awareness workshops for LEAs, provides mandatory training sessions for technology recipients, and maintains all program management reports, statistics, and records.

Human Resources. The ONDCP personnel authorization includes four billets allocated to CTAC: the ONDCP Director of Technology (SES) also serves as the Director of CTAC; two Program Analysts (GS-14/15); and one Administrative Specialist (GS-10). Program funds are used to obtain engineering, technical and administrative resources resident within the contracting and technical agent organizations on an ad hoc basis to oversee and manage individual projects.

D. APPROPRIATION LANGUAGE

Counterdrug Technology Assessment Center (Including Transfer of Funds)

For necessary expenses for the Counterdrug Technology Assessment Center for research activities pursuant to the Office of National Drug Control Policy Reauthorization Act of 1998 (21 U.S.C. 1701 et seq.), \$40,000,000, which shall remain available until expended, consisting of \$18,000,000 for counternarcotics research and development projects, and \$22,000,000 for the continued operation of the technology transfer program: *Provided*, That the \$18,000,000 for counternarcotics research and development projects shall be available for transfer to other Federal departments or agencies. (Executive Office Appropriations Act, 2002.)

E. SUMMARY TABLES OF PROGRAM AND FINANCING

Counterdrug Technology Assessment Center (\$ in thousands)

		FY 2002	FY 2003	FY 2004 Request
	Program by activities:			
00.01	Research and Development	\$20,064	\$18,000	\$18,000
00.01	Technology Transfer Program	\$22,236	\$22,000	\$22,000
10.00	Total Obligations	\$42,300	\$40,000	\$40,000
	Financing:			
21.40	Unobligated Balance Available, Start of Year			
24.40	Unobligated Balance Available, End of Year			
25.00	Unobligated Balance Expiring			
25.00	Unobligated Balance Rescinded/Transferred			
39.00	Budget Authority	\$42,300	\$40,000	\$40,000
	Budget Authority:			
40.00	Appropriation	\$42,300	\$40,000	\$40,000
41.00	Transferred to Other Accounts			
42.00	Transferred from Other Account			
43.00	Appropriation (adjusted)	\$42,300	\$40,000	\$40,000
	Relation of Obligations to Outlay:			
71.00	Obligations Incurred, Net	\$42,300	\$40,000	\$40,000
72.40	Obligated Balance, Start of Year			
74.40	Obligated Balance, End of Year			
90.00	Operations Outlays			
90.00	Total Outlays			

F. SUMMARY TABLES OF PERSONNEL

Personnel associated with the administration of Counterdrug Technology Assessment Center programs are funded from ONDCP's Salaries and Expenses account.

PERSONNEL	FY 2002	FY 2003	FY 2004 Request
Total Number of Appropriated Full-Time Permanent Positions	0	0	0
Total Compensable Workyears:			
Full-Time Equivalent Employment	0	0	0
Full-Time Equivalent of Overtime and Holiday Hours	0	0	0

FY 2004 Budget Request

The FY 2004 budget request for the Counterdrug Technology Assessment Center is \$40,000,000. This request consists of two parts: (1) the Counterdrug Research and Development (R&D) Program (\$18,000,000) for sponsoring supply and demand reduction-related counterdrug research and development projects and to support drug control technology initiatives and policies, including oversight, coordination and outreach activities; and (2) the Technology Transfer Program (\$22,000,000) for the transfer of technology to state and local law enforcement agencies.

CTAC Total Request (\$ in thousands)	FY 2002	FY 2003	FY 2004 Request
Research and Development	\$20,064	\$18,000	\$18,000
Technology Transfer Program	\$22,236	\$22,000	\$22,000
Total	\$42,300	\$40,000	\$40,000

As previously discussed, program activities fall into two categories:

- *Counterdrug R&D Program*
 - Oversight, Coordination, and Outreach
 - Demand Reduction R&D Program
 - Supply Reduction R&D Program
- *Technology Transfer Program*

CTAC Total Request (\$ in thousands)	FY 2002	FY 2003	FY 2004 Request
Demand Reduction R&D Program	\$14,000	\$14,000	\$14,000
Supply Reduction R&D Program	\$6,064	\$4,000	\$4,000
Technology Transfer Program	\$22,236	\$22,000	\$22,000
Total	\$42,300	\$40,000	\$40,000

The budget history and the allocation between supply reduction and demand reduction program activities are shown for FY 1999 through FY 2004 for reference.

Budget by Fiscal Year

CTAC Total (\$in thousands)	FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002 Actual	FY 2003 Request	FY 2004 Request
R&D Program	\$16,000	\$16,000	\$17,764	\$20,064	\$18,000	\$18,000
TTP	\$13,000	\$13,052	\$18,210	\$22,236	\$22,000	\$22,000
Total Budget	\$29,000	\$29,052	\$35,974	\$42,300	\$40,000	\$40,000

Budget Allocation by Program Activities for Fiscal Year

TARGET	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004
R&D Program	55%	55%	49%	47%	45%	45%
Demand Reduction	24%	26%	29%	33%	35%	35%
Supply Reduction	31%	29%	20%	14%	10%	10%
TTP	45%	45%	51%	53%	55%	55%

Counterdrug Technology Assessment Center

Salaries & Expenses Estimated Support Cost Table for CTAC	
Personnel Compensation (4 FTE)	\$476,000
Travel	\$50,000
Printing	\$35,000
Total	\$561,000

All of the above costs are paid from the Salaries and Expenses appropriation.

G. FY 2002 ANNUAL PROGRAM PERFORMANCE REPORT

Performance Goals and Indicators. The FY 2002 Performance Plan included (1) a Technology Development R&D Program to improve capabilities for interdicting drugs, apprehending and prosecuting drug traffickers, and for drug abuse treatment; and (2) a Technology Transfer Program (TTP) to deploy technology to state and local law enforcement agencies (LEAs) for counterdrug missions. CTAC set the following targets for FY 2002:

Technology Development R&D Program

Oversight and Coordination

Conduct three regional workshops and one technology symposium.
Coordinate/support approximately 100 counterdrug research and development programs.

Demand Reduction

- Open one new brain imaging facility at an institution for drug abuse research.
- Develop a program plan for providing new bioinformatic database models and advanced microarray technology in support of gene expression measurements.

Supply Reduction

Develop and test four technology prototypes for improving communications, case management, or tracking and surveillance capabilities.

- Develop and test one technology prototype for drug detection.

Technology Transfer Program

Continue to develop and refine the nationwide deployment strategy.

The output goals set for FY 1999 through FY 2003 are included in the following figure as a point of reference.

Figure 5 Performance Goals and Indicators

CTAC Targets	FY 1999 Target Actual		FY 2000 Target Actual		FY 2001 Target Actual		FY 2002 Target Actual		FY 2003 Target Actual
Technology Research and Development Program									
<i>Oversight and Coordination</i>									
1. Workshops/Symposium	3/1	5/1	3/1	4/1	3/1	3/1	3/1	3/2	3/1
2. Coordinate/support research and development programs (estimated)	85	89	85	96	100	100	100	75	85-100
<i>Demand Reduction</i>									
3. Brain Imaging Facilities	N/A		N/A		1	2	1	2	2
4. Program Plan – Gene Expression Measurements	N/A		N/A		N/A		1	1	Refined Plan with bioinformatics and Gene Expression
<i>Supply Reduction</i>									
5. Technology Prototypes	5	5	5	5	5	5	5	5	5
Technology Transfer Program									
6. Continue to develop and refine the nation-wide deployment strategy for Technology Transfer Program	N/A		N/A		TTP Strategy		Refined Strategy		Refined Strategy

Each of the targets was achieved. The following paragraphs provide a summary of each target.

Goal One. Workshops/Symposium. The Technology Transfer Program (TTP) transfers counterdrug technologies directly to state and local law enforcement agencies across the nation. The TTP conducts regional one-day workshops to describe TTP items available for agencies interested in applying to the TTP, and training workshops to train those agencies receiving items from the program. During FY 2002, three workshops were held:

- 131 agencies interested in applying to the TTP attended a regional one-day workshop in Pittsburgh, PA (April 2002)
- 797 officers received training at a workshop in Orlando, FL (March 2002)
- 162 officers received training at a workshop in Phoenix, AZ (June 2002)

Two symposia were sponsored in FY 2002:

- In April 2002, CTAC sponsored the Lonnie E. Mitchell Conference held in Baltimore, MD. The conference attracted 500 participants interested in drug abuse prevention and treatment with a special emphasis on under-served population groups.
- In July 2002, CTAC and NIDA sponsored the first International Technology Symposium dedicated entirely to demand reduction technology. The symposium was held in Boston, MA to address the technological capabilities that the substance abuse research community needs to perform the highest quality research and to share its results. Approximately 180 research scientists gathered to identify the technological and infrastructure elements needed for a seven to ten year program to develop the genotype/phenotype of the substance abuser, drug-dependent human brain.

Goal Two. Coordination and Support of R&D Programs. CTAC efforts in coordinating and supporting counterdrug research programs are documented in the *Counterdrug Research and Development Blueprint Update* (Blueprint) produced each year. This publication discusses progress and plans of the R&D programs for CTAC and the other drug control agencies. CTAC's goal is to monitor those drug-related R&D projects being done; the actual number of R&D projects is not important. During FY 2002, CTAC monitored, coordinated or supported approximately 75 drug-related R&D projects, systems undergoing test and evaluation, and technology deployments. A target of monitoring approximately 100 projects was set in the FY 2002 plan, however, only 75 drug-related R&D projects were actually being done by the drug control agencies in FY 2002. Since these projects are done by a variety of federal agencies, CTAC does not control how many projects are being done. Brief descriptions of these projects are provided in appendices to the *2002 Counterdrug Research and Development Blueprint Update*.

Goal Three. Brain Imaging Facility. Recent advancements in brain imaging technology have provided a "niche" for CTAC to develop advanced neuroimaging instrumentation and facilities. Over the past five years, world-class medical expert teams from Massachusetts General Hospital, Emory University, the University of Pennsylvania, Harvard University, McLean Hospital and UCLA have been drawn to CTAC-sponsored brain imaging technology locations. In most cases, their leading-edge drug abuse research efforts are sponsored by grants from NIDA.¹⁶ During FY 2002, a CTAC-sponsored brain imaging facility at the Hospital of the University of Pennsylvania (positron emission tomography camera) became operational in Philadelphia, Pennsylvania. A Ribbon Cutting ceremony was held with the ONDCP Director on April 4, 2002. A dedication also was held for the functional magnetic resonance imaging scanner (4 Tesla) installed at McLean Hospital's Brain Imaging Center in Belmont, Massachusetts.

Goal Four- Program Plan for Gene Expression Measurements. Long range planning efforts for using improvements in technology to improve drug abuse research quality and quantity have made progress. A crucial tool in the planning process was the international technology

¹⁶ As noted above, NIDA and CTAC roles are often confused. Typically NIDA provides the research funding while CTAC "bends metal" with provision of the hardware that is put to use by researchers with NIDA grants.

symposium held July 8-10, 2002, in Boston. Leading experts in brain imaging laid the groundwork for a major drug abuse data sharing network.¹⁷

Goal Five - Technology Prototypes One drug detection and four case management system technology prototypes were developed and tested in FY 2002 with CTAC funding:

- *Drug Detectors:* Western Kentucky University completed the test of a prototype transportable fast neutron-based probe designed for inspecting pallet-sized volumes of cargo for illicit drugs and other contraband. While x-ray and gamma ray systems provide an image or shape, the neutron system would provide a characterization of the imaged object based on its elemental composition (nitrogen, carbon, etc.).
- *Case Management and Surveillance Tools:* An operational technical assessment of an integrated case management system (CRYSTAL) with access to live surveillance, tracking, and mapping data from multiple stand-alone systems was performed on-site with the Rockland County Narcotics Task Force (RCNTF). CRYSTAL is a scalable information tool for organizing and presenting crime and case-related data including tactical surveillance. The system is designed to be modular with an open architecture to facilitate future integration with additional law enforcement data sources. CRYSTAL is being evaluated for use by the TTP by engineers with the SPAWAR Systems Center in San Diego, California.

RCNTF also provided support in evaluating an advanced telephone intercept capability developed with CTAC funding. This capability, along with the TTP's VoiceBox Title III intercept system and the Air-Ground Surveillance Management System (AG-SMS) for tracking and surveillance, allowed Rockland County law enforcement officials to coordinate the take down of a large Dominican Republic smuggling ring running illegal immigrants and drugs in and out of Kennedy Airport. Arrests were made simultaneously at 13 locations in Rockland County and four additional locations in New York City on June 20, 2002.

Other case management systems were developed in conjunction with the Idaho National Engineering and Environmental Laboratory and evaluated for use by state and local organizations:

- *Criminal Records, Investigation and Management Network (CRIMNet).* CRIMNet is a client/server case management application written in Java and is designed to provide an efficient method to manage information received and gathered by law enforcement personnel. Data within the system may be indexed by cases, citations, individuals, incidents and locations, among other criteria.

¹⁷ This plan is depicted graphically in Figure 2 (*Neuroscience Program Plan: Drug Abuse Data Sharing Network*) which appears earlier in this document.

- *Colorado Justice Information Network (CJIN)*. CJIN is dedicated to the secure collection, management, and expeditious dissemination of information to criminal justice agencies to increase the efficiency of investigators. CJIN is designed to extend an LEA's existing law enforcement information system by intelligently linking it to the information systems of other LEAs.

These systems provide enhanced capabilities for state and local law enforcement officers to conduct criminal investigations using historical and current suspect information shared from several jurisdictions.

Goal Six. Nation-wide Deployment Strategy for the Technology Transfer Program. A strategy was developed to measure and optimize TTP impact on disrupting drug trafficking organizations at the state and local level. From FY 1998 through FY 2002, TTP delivered 4,811 pieces of equipment to 3,898 state and local law enforcement agencies. TTP recipients were provided training when they received their equipment. CTAC uses 10 regional law enforcement experts to select technologies offered in the TTP and to screen TTP applications from agencies within their respective regions. These experts also participate in review of the program's effectiveness. Experts meetings were held in Phoenix on December 13, 2001, San Diego on May 1, 2002, and Denver on August 20, 2002.

The majority of CTAC performance information for FY 2002 is based on output type measures. Therefore, the number of workshops, the number of prototypes, and the number of brain imaging centers were used to measure performance. The numbers reported are those actually produced.

Verification and Validation - Performance measures of quality, relevance and leadership are applied to ongoing research projects. Monthly progress reports and quarterly program reviews are held by CTAC's technical and contracting agents to monitor quality and progress of ongoing projects. Experts from the law enforcement and drug abuse research communities are used on a periodic basis to conduct peer-level reviews for the program progress, composition and effectiveness. CTAC also holds meetings and conferences with stakeholders, peer groups and program sponsor organizations.

CTAC's methods for ensuring the quality and relevance of sponsored R&D programs are consistent with guidelines endorsed by the Committee on Science, Engineering, and Public Policy of the National Academy of Sciences, the National Academy of Engineering, and the Institute of Medicine, as articulated in two publications:

- *"Evaluating Federal Research Programs, Research and the Government Performance and Results Act,"* National Academy Press, Washington D.C., 1999.
- *"Implementing the Government Performance and Results Act for Research, A Status Report,"* National Academy Press, Washington, DC, 2001.

CTAC prepares an annual report, the *Counterdrug Research and Development Blueprint Update*, for release with the ONDCP *Annual Report* each February. The *Blueprint Update* summarizes those individual contributions CTAC has made and includes the latest listings of scientific and technological needs and individual R&D projects reported by the federal drug control agencies. This report helps CTAC and the larger federal community coordinate research priorities and minimize duplication of effort. An appendix to each *Blueprint Update* is devoted to reporting on the progress and accomplishments made in the Technology Transfer Program.

CTAC sponsors periodic international technology symposia to gather world-class technology experts with the leaders of the user community to assess state-of-the-art technologies and explore directions for future development activities. These symposia provide feedback from experts in the user and scientific communities regarding the balance and mix of R&D projects being pursued by CTAC and help determine the overall direction in which the state of technology is moving. This feedback is used to verify the proper composition of the current R&D program and to focus the direction of planned R&D program activities. These symposia help ensure that the larger federal community considers and, where appropriate, include the most advanced developments available. The most recent symposium was held in July 2002 in Boston, Massachusetts, and was attended by 180 experts in brain imaging and gene expression technology from industry, academia and government.

State and local law enforcement experts from 10 regions advise CTAC on the Technology Transfer Program's progress and execution. Evaluations are submitted to the program office on a 90-, 180-, and 270-day basis by the agencies receiving items from the TTP. Anecdotal data on arrests, convictions, seizures and other information received by the TTP program office are assessed to evaluate the impact of the program. Procedures for auditing the self-reports are being developed to monitor the outcomes (reductions in drug crime) of these initiatives rather than only the outputs (number of deliveries, arrests and seizures).

The success of the TTP is documented in periodic evaluation reports submitted to the Congress. The latest TTP Evaluation Report was submitted on January 11, 2002 and an updated TTP Evaluation Report will be available by February 2003.

The schedule of CTAC evaluation activities is shown in the following figure.

Figure 6

Schedule of CTAC Evaluation Activities

FY 02	FY 03	FY 04	FY 05	FY 06	FY 07	FY 08
* Blueprint Updates (each year)						
<ul style="list-style-type: none"> •Review of CTAC accomplishments - quarterly reviews of projects •Dissemination of future plans (annual) •Updated scientific and technological needs (annual) •Review of Federal drug control agency R&D projects (annual) •Summary of TTP statistics and anecdotes (annual) 						
* Technology Transfer Program Performance Evaluation Reports (18 month intervals)						
<ul style="list-style-type: none"> •Experts Meetings - Review of processes, 90, 180, 270 day evaluations and progress in deliveries vs. requests (recurring) •Review of technologies available - Sources Sought (annual) •Summary of TTP statistics and anecdotes (annual) 						
Outreach Activities (recurring)						
<ul style="list-style-type: none"> •TTP one-day regional workshops (recurring) •TTP training sessions (recurring) •TTP congressional leadership meetings (recurring) •Representation at IACP, NSA, LECC, HIDTA meetings (annual) •ONDCP/CTAC technology symposia (18 month intervals) 						

SUMMARY

CTAC's budget request, strategic plan and performance review support two principal program elements consisting of a Counterdrug Research and Development Program and the Technology Transfer Program.

The Technology Transfer Program supports the 2002 National Drug Control Strategy goal of a 10 percent reduction in illicit drug use in two years. More effective law enforcement efforts to disrupt the market place in the near term will assist in making this goal a reality. The brain imaging technology initiative supports the longer five-year national goal of a 25 percent reduction in illicit drug use. Outcomes from the brain imaging technology efforts will be achieved over a ten-year period with dramatic improvements to the treatments being available for those addicted to drugs and a new set of options for preventing those predisposed to addiction from beginning the abuse.

V. OTHER FEDERAL DRUG CONTROL PROGRAMS

A. PROGRAM OVERVIEW

The Assets Forfeiture Amendments Act of 1988 (Pub. L. 100-690), as amended, established the Special Forfeiture Fund (SFF) in order to provide ONDCP with supplementary resources for critical, unanticipated counter-narcotic programs. At the end of each fiscal year, one-half of the remaining excess balances of both the Justice Assets Forfeiture Fund (AFF) and Treasury Forfeiture Fund (TFF) was transferred to the SFF. Since FY 1995, SFF revenue had been far below the amount estimated to be transferred by both funds. Congress accommodated this shortfall by appropriating the needed resources from the General Fund of the Treasury, rather than the SFF. Since FY 1998, the SFF funding has been solely based on appropriations from Congress. Therefore, in FY 2004 we are requesting to change the name of the Special Forfeiture Fund to Other Federal Drug Control Programs.

In FY 2003, the President's request included \$251,300,000 for the Special Forfeiture Fund to be used as follows:

- a) \$180,000,000 for a National Youth Anti-Drug Media Campaign to target young people on the dangers of drug use.
- b) \$60,000,000 to support matching grants to drug-free communities as authorized in the five year extension of the Drug-Free Communities support program.
- c) \$6,000,000 for counterdrug Intelligence Architecture.
- d) \$2,000,000 for Performance Measures Development.
- f) \$1,000,000 for U.S. Anti-Doping Agency.
- e) \$1,000,000 for the National Drug Court Institute.
- f) \$800,000 for World Anti-Doping Agency (WADA) Membership Dues.
- g) \$500,000 for the National Alliance for Model State Drug Laws.

B. APPROPRIATION LANGUAGE

OTHER FEDERAL DRUG CONTROL PROGRAMS

Federal Funds

General and Special Funds:

(Including transfer of funds)

For activities to support a national anti-drug campaign for youth and for other purposes, authorized by 21 U.S.C. 1701 et seq., \$250,000,000, to remain available until expended, of which the following amounts are available as follows: \$170,000,000 to support a national media campaign, as authorized by the Drug-Free Media Campaign Act of 1998; \$70,000,000 for a program of assistance and matching grants to local coalitions and other activities, as authorized in chapter 2 of the National Narcotic Leadership Act of 1988, as amended; \$4,500,000 for the Counterdrug Intelligence Executive Secretariat; \$2,000,000 for evaluations and research related to National Drug Control Program performance measures; \$1,000,000 for the National Drug Court Institute; \$1,500,000 for the United States Anti-Doping Agency for anti-doping activities; and \$1,000,000 for the United States membership dues to the World Anti-Doping Agency: Provided, That such funds may be transferred to other Federal departments and agencies to carry out such activities. (Executive Office Appropriations Act, 2002)

**C. SUMMARY TABLES OF PROGRAM AND FINANCING - 2004 BUDGET REQUEST
OTHER FEDERAL DRUG CONTROL PROGRAMS
(\$ in thousands)**

		FY 2002	FY 2003	FY 2004 Request
	Program by activities:			
00.01	National Youth Anti-Drug Media Campaign	\$179,941	\$180,000	\$170,000
00.01	Drug Free Communities Support Program	\$50,600	\$60,000	\$70,000
00.01	U.S Anti-Doping Agency	\$4,800	\$1,000	\$1,500
00.01	Counterdrug Intelligence Executive Secretariat	\$2,941	\$6,000	\$4,500
00.01	National Drug Court Institute	\$1,000	\$1,000	\$1,000
00.01	Performance Measures Development	\$0	\$2,000	\$2,000
00.01	World Anti-Doping Agency (WADA) Membership Dues	\$0	\$800	\$1,000
00.01	National Alliance for Model State Drug Laws	\$0	\$500	\$0
10.00	Total Obligations	\$239,282	\$251,300	\$250,000
	Financing:			
21.40	Unobligated Balance Available, Start of Year			
24.40	Unobligated Balance Available, End of Year			
25.00	Unobligated Balance Expiring			
25.00	Unobligated Balance Rescinded/Transferred			
39.00	Budget Authority	\$239,282	\$251,300	\$250,000
	Budget Authority:			
40.00	Appropriation	\$239,282	\$251,300	\$250,000
41.00	Transferred to Other Accounts			
42.00	Transferred from Other Account			
43.00	Appropriation (adjusted)	\$239,282	\$251,300	\$250,000
	Relation of Obligations to Outlay:			
71.00	Obligations Incurred, Net	\$239,282	\$251,300	\$250,000

72.40	Obligated Balance, Start of Year			
74.40	Obligated Balance, End of Year			
90.00	Operations Outlays			
90.00	Total Outlays			

D. SUMMARY TABLES OF PERSONNEL

Personnel associated with the administration of Other Federal Drug Control Programs are funded from ONDCP's Salaries and Expenses account, except one reimbursable position authorized from the five year extension of the Drug Free Communities Support Program.

PERSONNEL	FY 2002	FY 2003	FY 2004 Request
Total Number of Appropriated Full-Time Permanent Positions	1	1	1
Total Compensable Workyears:			
Full-Time Equivalent Employment	0	0	0
Full-Time Equivalent of Overtime and Holiday Hours	0	0	0

E. OTHER FEDERAL DRUG CONTROL PROGRAMS FY 2004 BUDGET REQUEST

The FY 2004 budget request for the Other Federal Drug Control Programs account is \$250,000,000. These funds will be used to carry out seven programs.

The following FY 2004 Performance Plans and FY 2002 Performance Reports are presented in this section with the budget request:

- National Youth Anti-Drug Media Campaign
- Drug Free Communities Support Program

1. NATIONAL YOUTH ANTI-DRUG MEDIA CAMPAIGN

FY 2004 ANNUAL PERFORMANCE PLAN, FY 2004 BUDGET REQUEST, AND FY 2002 ANNUAL PROGRAM PERFORMANCE REPORT

a. PROGRAM OVERVIEW

First funded in 1997 with bipartisan support from Congress (Treasury-Postal Appropriations Act of 1998, Public Law 105-61), the National Youth Anti-Drug Media Campaign is a social marketing effort designed to prevent and reduce youth illicit drug use by: increasing awareness of the consequences of drug use, changing youth attitudes and intentions to use drugs, and motivating adults to use parenting skills and other anti-drug behaviors.

The Campaign is based on the Social Cognitive Theory that suggests youth develop attitudes, intentions and expectations about drug use prior to initiation. These beliefs are largely dependent on their perceptions of the harms associated with drug use, their perceptions of what is deemed to be normative behavior and whether they view others who model the behavior in a positive manner. Given that the mass media play a significant role in shaping these beliefs, the Campaign utilizes the media (paid advertising, information placement, and interactive media) and community initiatives to educate and motivate youth to develop anti-drug beliefs and behaviors and to encourage adults to play an active role in keeping youth drug free. It is one of the cornerstones of the President's 2002 National Drug Control Strategy as it makes a significant contribution toward the national goal of reducing youth illicit drug use by 25 percent by 2007.

The Media Campaign has been executed in three phases, each with its own specifically designed evaluation. Phase I (January to June 1998) pilot tested the campaign in twelve target sites matched with twelve comparison sites in four geographic regions. Phase II (July 1998 to June 1999) expanded the Phase I effort to the national level and used additional media as new creative materials became available (e.g., Internet banners). Phase II utilized youth and adult anti-drug advertising delivered through a range of media including: television, radio, newspapers, magazines, book covers, movie theaters, and the Internet.

In Phase III (July 1999 to the present), the Campaign implemented its fully integrated communications approach (with the addition of its non-advertising efforts) during which time the Office of National Drug Control Policy (ONDCP) began focusing on specific, scientifically-supported anti-drug themes and messages through the Campaign's advertising and community outreach. Phase III is divided into multi-week periods (a process called *flighting*) in which all advertising and outreach focuses around a specific anti-drug message for youth and adults for a 10-12 week period. Also during Phase III, the Campaign embraced two brand identities, "The Anti-Drug" for adults and "My Anti-Drug" for youth. The concept of "branding" (which usually links a product or a concept with a catch phrase or logo) was introduced to unite the Campaign's multi-dimensional messages, create synergy between advertising and non-advertising efforts and to increase the awareness of its anti-drug themes.

b. MISSION STATEMENT

The mission of the National Youth Anti-Drug Media Campaign is to educate and enable America's youth to reject illicit drugs. This mission includes preventing drug use and encouraging occasional users to discontinue use.

c. FY 2004 PERFORMANCE PLAN

Performance Planning. In May 2002, the National Survey of Parents and Youth (NSPY) Wave 4¹⁹ results were released, indicating that while the Campaign was having a strong positive effect on the nation's parents, it was not yet making a significant impact on its core audience, youth. In response to these findings, ONDCP revised the Campaign strategy to focus on achieving two primary tasks:

- Strengthening youth anti-drug attitudes, and
- Increasing parental monitoring of their children's activities

Operationally, ONDCP implemented the following major changes:

- The improvement of the Campaign's Strategic Plan, guided by a logic model that is more closely tied to the Social Cognitive Theory
- Shifting the Campaign's youth focus to concentrate on marijuana use prevention
- The termination of youth and parenting message platforms that were not found to be effective
- The creation of "edgier" advertising using a more effective advertising development process with ONDCP involved earlier in the process
- Increasing ONDCP oversight of the Campaign to ensure that all television advertising is tested for effectiveness and possible unintended negative consequences prior to airing
- Restructuring the Campaign within ONDCP so the Media Campaign Director reports directly to the ONDCP Director on all issues

¹⁹ The congressional mandate that authorizes the Media Campaign requires ONDCP to evaluate the Campaign. At the request of ONDCP, the National Institute on Drug Abuse (NIDA) contracted the task to Westat, Inc., and its subcontractor, the Annenberg School of Communications, University of Pennsylvania. The evaluation is comprised of the National Survey of Parents and Youth (NSPY), a continuous series of cross-sectional and longitudinal surveys conducted at six-month intervals called Waves. See the "Verification and Validation" section in this document.

As a result of these modifications, the Campaign's new core message platforms are:

Core Strategic Messages to General Market Youth:

Normative Education/Positive Consequences: Most young people do not use drugs. A drug-free lifestyle is more likely to lead to positive outcomes.

Negative Consequences: Using drugs will lead to negative physical and social outcomes.

Core Strategic Messages for General Market Parents:

Parental Efficacy /Monitoring: Parents play the most influential role in keeping youth drug free. Also, utilizing parenting skills, particularly monitoring a child's whereabouts, is the overall most effective parenting strategy. Other message platforms for parents include:

Perceptions of Harm: Adolescent marijuana and inhalant use have serious physical and social consequences.

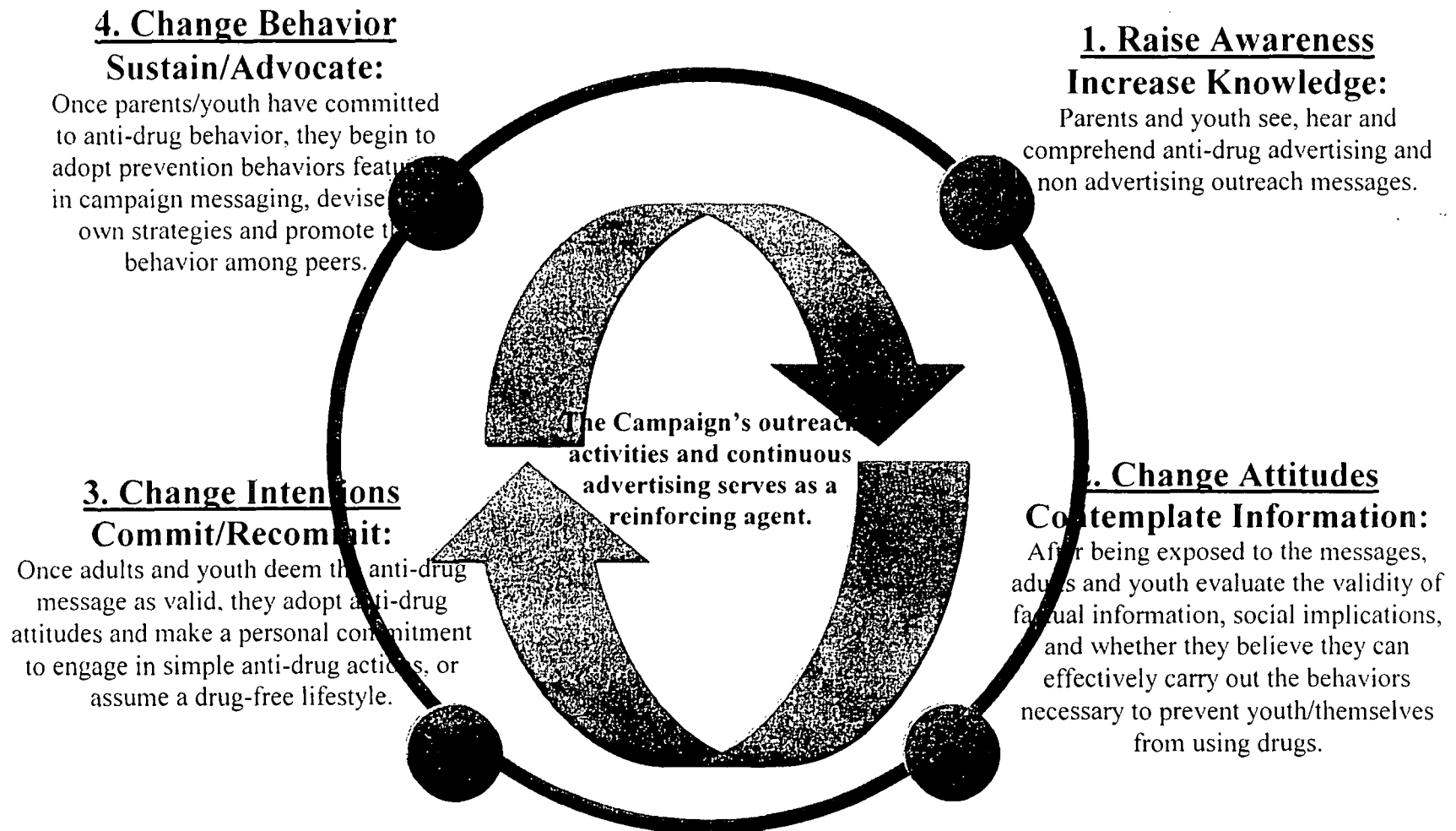
Your Child at Risk: All youth are at risk for drug use and its consequences.

Messages based on these platforms are designed to educate immigrant parents about the nature of the youth drug use in the United States and provide needed information that is absent from general market advertising. For some multicultural communities, particularly Asian American and Hispanic, additional parenting platforms are required to meet the special needs of immigrant parents who tend to be less familiar with the U.S. drug culture and the risks their children may face. Ads to these communities include relevant cultural cues and are in languages other than English (e.g., Spanish, Cantonese, Mandarin, Vietnamese, Korean and Tagalog).

The core message platforms were revised according to the recommendations of the Campaign's Behavioral Change Expert Panel (a panel of researchers and parenting specialists), contractors, and the Partnership for a Drug Free America (PDFA). They reflect the findings of recent published public health literature and Campaign research which found that these messages resonate best with the Campaign's audiences and yield the best outcome in influencing anti-drug attitudes, intentions, behaviors and parenting practices. The Campaign still uses specialized message platforms for some multicultural communities (e.g., Hispanic and Asian adults) to meet the drug prevention needs of immigrant parents raising more acculturated youth. The performance of these specialized platforms is not measured by NSPY because sample sizes for these ethnic/racial groups are too small to produce reliable estimates.

The Campaign's revised logic model (Figure 1) acknowledges the step-wise/cyclical nature of behavior change where a number of efforts must be simultaneously undertaken to prevent and maintain youth drug use in constantly growing and evolving audiences.

The National Youth Anti-Drug Media Campaign Logic Model (Based on Social Cognitive Theory)



This new approach necessitates significant changes in the Campaign's performance goals from previous years, to include measures that gauge the Campaign's ability to achieve goals within the logic model's four steps (Increase Awareness, Change Attitudes, Change Intentions and Change Behavior). These changes are substantial and the FY 2004 performance goals and targets are completely different from those in previous years. The FY 2004 goals are:

Program Effectiveness

- Increase awareness of anti-drug information
- Change attitudes
- Change intentions
- Change behavior

Program Management

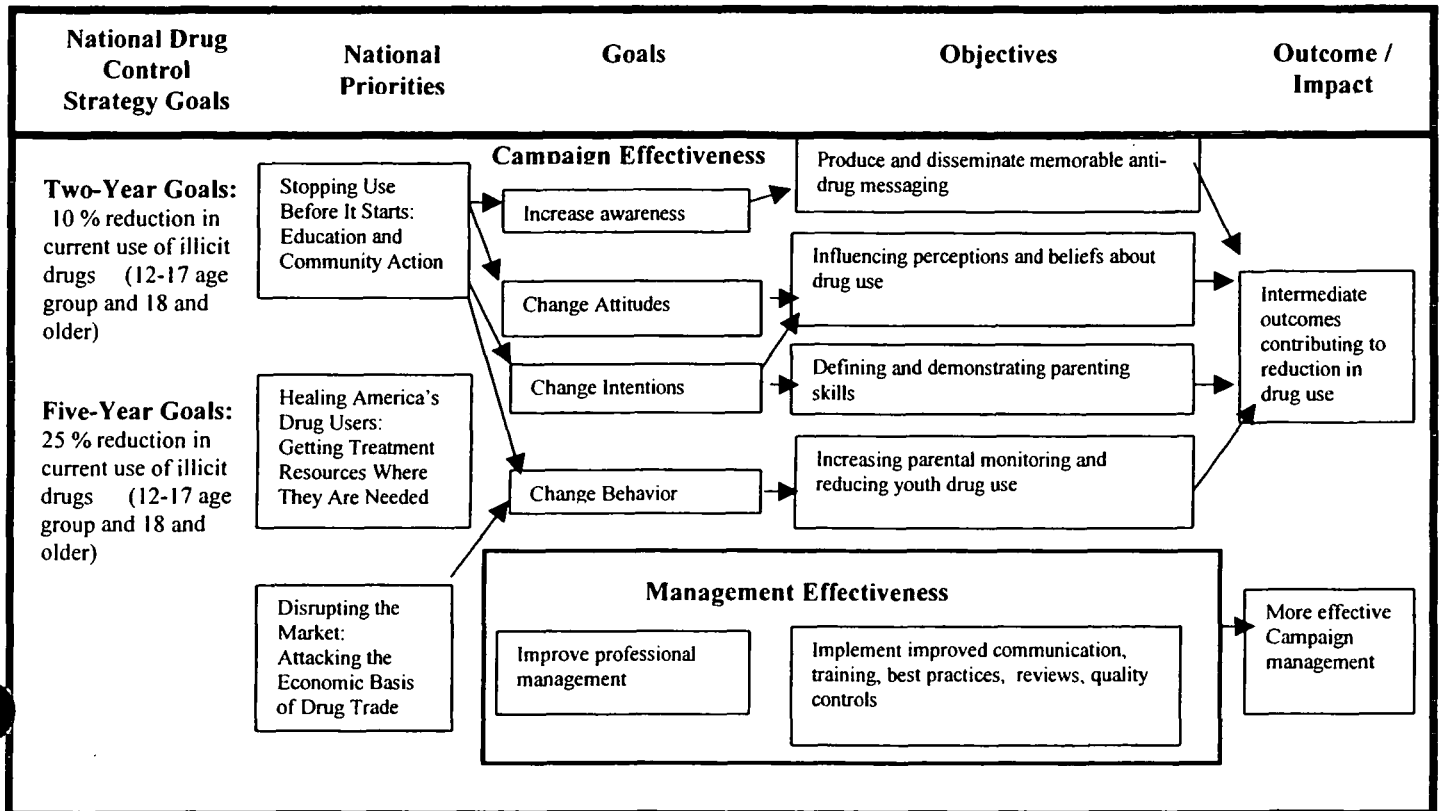
- Improve professional management

In 2002, as part of a systematic review of more than 200 federal programs, the Office of Management and Budget assessed the Media Campaign's performance in a number of areas. In response to that review, the Media Campaign management is developing a number of mechanisms to address concerns, including strengthening performance measures and goals, as well as identifying specific tracking studies that will provide useful management information on a timely basis. Because outcome data necessarily lag behind program improvements, the Campaign will use a number of process indicators to ensure that program changes are contributing to overall performance in the short run thereby improving the likelihood of positive behavior change in the long run.

In an effort to provide continuity, the new goals and targets are designed to stay in place for the next five years providing a consistent means of tracking the Campaign's progress through FY 2008. The strategic plan establishes goals and objectives for each component within the Media Campaign by which achievement of performance standards and contractor tasks will be determined. These standards will be reviewed on a semi-annual basis to determine need for modifications. Each lead contract manager will be responsible for assessing contractor performance that will be used in periodic contract review.

The Media Campaign's strategic goals and objectives were developed in concert with the National Drug Control Strategy goals and national priorities. The relationship of the Media Campaign's goals and objectives to the national goals is shown in Figure 2.

Figure 2. Media Goals related to National Goals and Priorities



Performance Goals and Indicators. Goals One through Four for FY 2004-FY 2008 were chosen to reflect the effectiveness of the Campaign because of their significance in preventing youth drug use, and their relevance to the Campaign's logic model. The objectives consist of youth and adult measures, as the Campaign seeks to reach both audiences with behavior change messaging. Goal Five is a management goal for the Media Campaign Program office in its efforts to improve staff efficiency and effectiveness in Campaign management. Each goal has targets that are designed to represent the measurable accomplishments the Campaign will attempt to achieve during a fiscal year.

With the exception of measures 1c, 1d, 1e, and 5, the remaining measures rely on data from the National Survey of Parents and Youth (NSPY), conducted for ONDCP by the National Institute on Drug Abuse (NIDA) and its contractor. The baseline data are derived from an average of NSPY Waves 3 and 4²⁰ data (2001). This data set was chosen (instead of using earlier Waves) because it best depicts the status of the Campaign's efforts just prior to its revision, and thus permits a truer assessment of the impact of midcourse corrections to both strategy and executions. A comparison analysis conducted as part of NSPY found that the survey results are comparable to larger national surveys that have greater statistical power, namely the National

Household Survey on Drug Abuse (NHSDA), verifying NSPY's validity as an evaluation tool. The remaining baseline data are generated by Campaign contractors.

Program Effectiveness

Goal One: Increase awareness of anti-drug information

In order to impact parents and youth, they must see the Campaign's messaging and learn from it. While the Campaign reaches the bulk of its audience through advertising, its ads are only one of the many educational tools the Campaign uses. Typically, Campaign advertising drives audiences to seek additional sources of information from its Clearinghouses and its web sites to get the type of in-depth information that is often necessary to facilitate and support behavior change. This goal and its supporting measures are different from previous performance plans because it not only gauges the Campaign's ability to advertise well, but also measures its ability to direct parents and youth to a wealth of anti-drug information.

(1) Objective: Produce and disseminate memorable anti-drug messaging

1a. and 1b. *Maintain the percentage of youth and parents who recall exposure to anti-drug messages (across all forms of media) at least once a week.* These sub-objectives measure the Campaign's ability to effectively buy and place media for its intended audience. The Campaign purchases advertising with the target of reaching 90 percent of youth four times a week, and 86 percent of parents and adult caregivers 3.4 times per week. Although the media is purchased using this plan, advertising may reach its projected audience at a much lower rate. Since its inception the Campaign has generated a considerable recall of its messages, even in light of budget reductions and substantial cost inflation. For FY 2004 and future years the Campaign plans to maintain its current recall levels. According to the marketing experts and comparison data, any level of brand recognition over 65 percent represents a highly successful advertising effort. While ideally the Campaign would like to improve ad recall, it must battle diminishing returns and a competitive media market. Success in achieving this objective is dependent on the Campaign's ability to secure funding that will cover media inflation costs, purchase media at its proposed levels, and improve the quality of its advertising (and its ability to cut through ad clutter).

1c. *Increase user sessions on the Campaign's flagship web sites: theAnti-Drug.com, and Freevibe.com.* This is a new objective established for FY 2004 due to trends in the use of the Internet and because a measure was needed to evaluate the performance of the Campaign's second distribution mechanism, its web sites. Qualitative and quantitative research that the Campaign has conducted indicated that adults and youth seek information from the Internet more frequently than calling a clearinghouse, especially if the question is of a personal nature.

20 The evaluation is comprised of a continuous series of cross-sectional and longitudinal surveys conducted at six-month intervals called Waves. See the "Verification and Validation" section in this document.

Because of the Internet's ubiquity, convenience and anonymity, it has become the Campaign's primary response and depth information mechanism and the Campaign continues to create new sites and add new information to meet the needs of parents, youth, Community Coalitions, teachers, writers, and more. Increasing the number of users who log on to Campaign web sites is a priority, and for FY 2004, the target is to increase user sessions to the sites by fifteen percent annually.¹⁸

1d. *Increase pro bono donations of network and media time to create awareness of community coalitions and the successful anti-drug strategies that coalitions bring to communities across the nation.* The effort to increase public awareness of community anti-drug coalitions was launched in the fall of 2001 and has resulted in local pro-bono advertising of coalition information encouraging individuals to volunteer within their communities. Coalition volunteers are a critical part of extending anti-drug messages at the local levels. The target for FY 2004 is to increase pro bono contribution by five percent annually.

1e. *Increase participation of corporations in the Media Campaign.* The corporate participation component began in the fall of 2001 and has resulted in 29 corporate partners and over twelve million dollars in pro bono contribution in the first twelve months. This component of the Campaign has enabled over a half billion additional anti-drug impressions to reach parents and youth. We anticipate twenty-percent growth in corporate partnerships for FY 2004 since FY 2002.

Goal 2: Change Attitudes

According to Social Cognitive theory, as one views anti-drug messages and evaluates them, if the messages are deemed meaningful, the viewer is prompted to change or maintain his or her anti-drug attitudes. The performance objectives under Goal Two chosen for relevance to the Campaign's revised message platforms and their relevance to the desired behavioral outcomes the Campaign promotes.

(2) Objective: *Influencing perceptions and beliefs about drug use*

2a. *Increase the percentage of youth ages 14-16 who believe there is great risk of harm from regular marijuana use.* Drug prevention research indicates when adolescents assess whether or not to use drugs, short-term negative consequences play a salient role in their decision-making process. Half of the Campaign's youth advertising and outreach is devoted to highlighting the potential negative social, psychological, and physical consequences associated with marijuana use. Between FY 2000 and FY 2001, the Campaign contributed to an increase in adolescent

¹⁸ In previous years this objective was *Increase Campaign-related contact to the National Clearinghouse for Alcohol and Drug Information (NCADI) and the ONDCP Clearinghouse.* The NCADI and ONDCP Clearinghouses continue to play an important role in supporting the Campaign's efforts. They actively distribute the Campaign's resources to consumers, schools, PTAs and community coalitions nationwide. Through these clearinghouses, the Campaign's messages can reach audiences on a personal and grassroots level providing detailed information not received through advertising. However, as noted in Measure 1c, tracking the percentage of increase in Internet usage is a better indicator for the current population seeking information.

perceptions of harm (for regular marijuana use). With the Campaign's new adolescent-focused paradigm in place and with its increased emphasis on communicating the negative consequences of drug use, the Campaign anticipates increasing adolescent perceptions of harm by a 1.5 point increase annually (which would be statistically significant but not necessarily detected by the survey). This objective is designed to measure the Campaign's ability to convincingly communicate marijuana risks and to change attitudes.

2b. Increase the percentage of youth ages 14-16 who believe their friends strongly disapprove of regular marijuana use. Because the initiation of drug use is largely an outcome of the social influences on an adolescent's life, the Campaign seeks to change youth perceptions that marijuana use is a normative and socially-accepted behavior. Public health research indicates adolescents consistently over-estimate the prevalence of drug use among their peers and are thus susceptible to a subtle and silent form of peer pressure to use drugs. To counter this perception, the Campaign crafts messages dispelling the myth that drug use is the norm and socially accepted among youth. This objective measures the Campaign's ability to effectively communicate this anti-drug message platform and whether it has altered the youth perceptions. The FY 2004 target is to increase adolescent beliefs that their friends strongly disapprove of regular marijuana use by a 1.5 point increase annually. A comparison of the baseline data and data from the previous year show that estimates for this measure have remained flat; thus the Campaign staff will monitor this closely to detect any significant movement attributable to the Media Campaign's new focus.

2c. Increase the percentage of parents holding strong beliefs that parental monitoring will make it less likely their child will use drugs. Research shows that parents are the single most effective deterrent to adolescent drug use if they monitor their child's day-to-day activities, especially when they are in unsupervised peer groups. The Campaign's parenting messaging conveys these themes and oftentimes models these behaviors. The monitoring/efficacy platform has become the centerpiece for the Campaign's parental outreach. Because the Campaign's parenting efforts are focused on achieving this target, it is expected to yield significant outcomes. In FY 2004, the Campaign intends to increase monitoring beliefs by a 2.5 point increase annually, which is slightly less than the gain achieved between FY 2000 and FY 2001. This moderate objective was established as a means of promoting an attainable and consistent improvement on the Campaign's key parenting platform.

Goal Three: Change intentions

This goal measures the effectiveness of the Campaign's messaging and outreach initiatives to surround its audiences with efficacious anti-drug messaging that encourages youth to reject drugs and adults to increase parental monitoring activities. The desired outcomes for this goal are directly tied to the attitudes outlined in Goal Two.

(3) Objective: Influencing perceptions and beliefs about drug use and defining and demonstrating parenting skills

3a. Decrease the percentage of youth who report having intentions to use marijuana in the next 12 months. The Media Campaign is among many prevention efforts expected to contribute to an

overall decline in youth drug use. Marijuana is the primary drug of choice among adolescents, and the primary focus of the Campaign's adolescent outreach. While youth-reported intentions to use marijuana are fairly low, there apparently was an increase in the percentage of youth reporting intentions to use the drug between FY 2000 and FY 2001. The target of achieving a 2.5 point decrease annually was chosen to correct this upswing in intentions and incrementally reduce them by 2008 to levels lower than when the Campaign began.

3b. and 3c. *Increase the percentage of parents reporting having strong intentions to limit the time their child spends with others without adult supervision and to know what their child is doing when she or he is away from home.* Parents can take many actions to protect their children from drug use and other associated risks. While some of these actions pertain directly to how parents deal with the issue of drugs, others are more general parenting skills such as monitoring. As noted earlier, monitoring efficacy is the Campaign's primary parental message platform. Each of the Campaign's messages is designed to not only educate, but also motivate parents to engage in monitoring behaviors. This objective tracks the effectiveness of the parental platform to enhance parental intentions to monitor their children's activities when the parent is not present. A target of increasing parental monitoring activities by a 1.5 point increase annually was created to consistently build on the Campaign's strong parenting outreach efforts.

Goal Four: Change Behavior

This goal measures the Campaign's effectiveness in achieving its desired behavioral outcomes. The rationale for achieving this goal is the same as Goals One through Three.

(4) Objective: Increase parental monitoring and decrease youth drug use

4a. *Increase the percentage of parents who report monitoring their 12-18 year old children in one or more recommended ways.* This measure best defines the desirable parenting behavior that the Campaign is promoting. In FY 2004, the Campaign seeks to achieve a 2.5 point annual increase in parents reporting engaging in this behavior.

4b. *Decrease the percentage of 10th graders who report use of marijuana in the past 30 days.* This measure focuses on the desired behavioral outcome of reduced drug use, and is linked to the President's goal of reduced drug use among 12-17 year old youth. While Monitoring the Future data are used to track drug use, the NSPY is used to determine if such changes can be attributed to the Campaign. The target is a 1.5 point decrease annually.

Program Management

Goal Five: Improve management

(5) Objective: Implement improved communication, training, best practices, reviews, and quality controls.

To support the President's Management Agenda, the Campaign staff created objectives for improving the skill sets of the Campaign staff to hone their capability in ensuring the program's functional integrity and effectively analyzing applicable research to make timely adjustments to the Campaign. The implementation of these new objectives will enhance management and coordination among the multiple entities who play a role in the Campaign's execution, certify that the Campaign is in compliance with its statutory mandate, and enhance the performance of Campaign messages.

5a. Provide staff with at least one training or developmental project each year. The science behind behavior change, drug prevention, and program management is constantly evolving. It is imperative for the successful management of the Campaign that staff members stay abreast of these new findings and integrate them into their daily activities. To facilitate this outcome, for FY 2004 the Campaign leadership will provide each of the Campaign staff with at least one opportunity to receive training at national meetings, take part in developmental programs, or participate in formal training sessions on subject matter that is related to their area of expertise. This training will be in addition to Contract Officer Training Representative (COTR) courses.

5b. Convene interagency and Non-Governmental Organizations (NGOs) partner meetings. Interagency meetings are essential to the proper conduct of the Media Campaign for numerous reasons. As a part of ONDCP, the Campaign has a duty to advise demand reduction agencies of efforts that may have an impact on them. Due to the Campaign's reach and magnitude, its efforts will impact many federal agencies. Oftentimes an agency's ability to accomplish the Campaign's goals is also dependent on its ability to partner with other government entities. Additionally, the Campaign staff relies on other demand reduction agencies and NGOs to inform us of trends in the field, upcoming research, program announcements, and other initiatives or events that may have an impact on Campaign development and implementation. In an effort to increase communication and collaboration between the Campaign and its federal and non-profit partners, by FY 2004 the Campaign will host at least twelve interagency meetings each year. The staff will continue to participate in numerous other interagency meetings hosted by other sections within ONDCP and other government agencies.

5c. Conduct quarterly Behavior Charge Expert Panel reviews. In addition to NSPY, Campaign staff utilize data from a plethora of national qualitative and quantitative studies to direct Campaign efforts and conduct periodic reviews involving a panel of experts in behavior change. The Campaign will convene quarterly meetings each year to review findings, determine their applicability to the Campaign, and make midcourse corrections where necessary.

5d. Ensure that 100 percent of general market television advertising is tested prior to airing. In the advertising industry, it is a best practice to field test advertising with a representative audience prior to airing. This ensures that the ad conveys its intended message, does not produce negative unintended effects and improves the likelihood of contributing to the desired behavior change. Although the Campaign's strategy called for copy testing of television ads, due to the receipt of advertising close to airing, many of the Campaign's ads were tested *after* they had aired. The revisions the Campaign underwent in FY 2002 have included a process to improve the timeliness of ad development that will facilitate timely planning and testing. With this new

process in place, the Campaign is committed to quantitatively copy testing 100 percent of its television advertising and qualitatively testing its radio and print advertising during FY 2004.

Figure 3 FY 2004 Performance Goals and Indicators

Goals and Objectives	Historical Data (FY 00)	Baseline	FY 04 Targets
Program Effectiveness Goals			
Goal 1. Increase awareness of anti-drug information			
<i>Produce and disseminate memorable anti-drug messaging</i>			
1a. Percentage of youth who recall exposure to anti-drug messages (across all forms of media) at least once a week.	70.2%	76% (baseline statistic represents an average of Waves 3-4.)	76% <i>Target is to maintain current recall levels</i>
1b. Percentage of parents who recall exposure to anti-drug messages (across all forms of media) at least once a week.	69.8%	70% (baseline statistic represents an average of 1-4.)	70% <i>Target is to maintain current recall levels</i>
1c. User sessions to the Campaign's Flagship web sites: theAntiDrug.com and Freevibe.com.	3,444,851	6,401,735 (FY 2002)	8,466,294 <i>Target is to achieve a 15% increase annually.</i>
1d. Pro bono donations of network and media time to create awareness of community coalitions and the coalition anti-drug strategies and increase public participation.	NA	\$195 M (FY 2002)	\$215,000,000 <i>Target is to increase contribution by 5% annually</i>
1e. Participation of corporations in the Media Campaign.	NA	35 (FY 2002)	50 <i>Target is 20% growth in participation</i>
Goal 2. Change attitudes			
<i>Influencing perceptions and beliefs about drug use</i>			
2a. Percentage of youth ages 14-16 who believe there is great risk of harm from regular marijuana use.	58.8%	59.3% (FY 2001)	63.8% <i>Target is to achieve a 1.5 point increase annually.</i>
2b. Percentage of youth ages 14-16 who believe their friends strongly disapprove of regular marijuana use.	62.5%	62.1% (FY 2001)	66.6% <i>Target is to achieve a 1.5 point increase annually</i>

Goals and Objectives cont.	Historical Data (FY 00)	Baseline	FY 04 Targets
2c. Percentage of parents holding strong beliefs that parental monitoring will make it less likely that their child will use drugs.	45.5%	47.2% (FY 2001)	54.7% <i>Target is to achieve a 2.5 point increase annually.</i>
Goal 3. Change intentions			
<i>Influencing perceptions and beliefs about drug use Defining and demonstrating parenting skills</i>			
3a. Percentage of youth who report having intentions to use marijuana in the next 12 months.	12.5%	13.7% (FY 2001)	6.2% <i>Target is to achieve a 2.5 point decrease annually.</i>
3b. Percentage of parents reporting strong intentions to limit the time their child spends with others without adult supervision.	42.9%	45.2% (FY 2001)	49.7% <i>Target is to achieve a 1.5 point increase annually.</i>
3c. Percentage of parents who report strong intentions to know what their child is doing when s/he is away from home.	58.9%	60.3% (FY 2001)	64.8% <i>Target is to achieve a 1.5 point increase annually.</i>
Goal 4. Change Behavior			
<i>Increase parental monitoring and decrease youth drug use</i>			
4a. Percentage of parents who report monitoring their 12-18 year old children in one or more recommended ways.	NA	TBD Feb 28, 2003	TBD% <i>Target is to achieve a 2.5 point increase annually.</i>
4b. Percentage of 10 th graders who report use of marijuana within the past 30 days.	19.7%	17.8%	14.8% <i>Target is to achieve a 1.5 point decrease annually.</i>

Goals and Objectives cont.	Historical Data (FY 00)	Baseline	FY 04 Targets
Program Management Goal			
Goal 5. Improve management			
<i>Implement improved communication, training, best practices, reviews, and quality controls</i>			
5a. Provide staff with training or developmental project.	N/A	N/A	1 per staff member per year
5b. Convene interagency and NGO partner meetings.	NA	12	12 per year
5c. Conduct quarterly meetings of the Behavior Change Expert Panel.	N/A	N/A	4 meetings per year
5d. Test general market TV advertising prior to use.	45%	33%	100%

Means and Strategies. In FY 2004, the National Youth Anti-Drug Media Campaign will employ the following strategies to reach youth and parents with anti-drug information and resources:

- *Advertising:* The Media Campaign utilizes more than 1800 media outlets across the country to carry its anti-drug messages in paid and donated television, print, internet and radio media. Media planning and purchasing is done by the Campaign's primary advertising agency, with the intention of reaching 90 percent of all teens with anti-drug messages four times per week, and 86 percent of parents and adult caregivers 3.4 times per week.
- *Interactive Media.* Capitalizing on the Internet's popularity and ability to quickly deliver information, the Media Campaign created anti-drug web sites for youth, parents, teachers, entertainment industry writers and producers and corporations. Web content is available in English, Spanish, Chinese, Vietnamese and Korean.
- *Corporate Participation.* The corporate component of the Media Campaign seeks to generate in-kind resources and cause-related marketing partnerships with major corporations. Through the partnerships, the Campaign utilizes the corporate partner's philanthropic arms, brand name, relationships and credibility with consumers, and communications infrastructure to disseminate anti-drug messages to their customers, employees and communities.

For any social marketing campaign to be effective its strategic plan must include more than just advertising. It must have a substantial component that integrates its message on a grassroots level so that it becomes ubiquitous in the lives of its audience. To increase the effectiveness of the aforementioned primary strategies, the Campaign employs a number of media and community outreach techniques to make its anti-drug messages live beyond the advertising realm. These techniques include:

- *Public Information/News Media Outreach.* One of the Campaign's primary focus areas is providing accurate, science-based drug information to the news media. Additionally, the Media Campaign promotes anti-drug and parenting and community strategies to the news media and periodicals to ensure that these concepts are ubiquitous in the lives of parents and youth.
- *Partnerships and Community Outreach.* Partnerships with national parent and youth-serving and community service organizations have extended the Campaign's reach to millions of Americans. These organizations distribute Campaign messages, strategies, and materials to their members and communities through high profile events, programs and mailings.
- *Entertainment Industry Outreach.* Because the entertainment media have a pervasive impact on the lives of Americans, especially youth, the Media Campaign actively

works with the entertainment industry to provide information and resources to encourage accurate portrayals of drug use and its consequences.

- *Community Coalition Support.* One of the primary components of the nation's anti-drug efforts is community anti-drug coalitions. The Campaign executes a public service advertising effort designed to generate awareness about the critical role coalitions play in keeping kids drug free and to encourage individuals, businesses and institutions to volunteer or start coalitions in their communities.
- *Public Service Match.* Media outlets that receive federal monies for advertising are required to match the value of those ads with an in-kind public service match. This pro bono match can take many forms such as free advertising time and space, newspaper inserts and sponsorship of community events. The Media Campaign uses the match credits as an underpinning for collaborative efforts with other federal agencies and public service organizations whose messages support the Campaign's anti-drug themes.

d. FY 2004 BUDGET REQUEST

For FY 2004, ONDCP is requesting \$170,000,000 for the National Youth Anti-Drug Media Campaign in support of the *National Drug Control Strategy*. Between 1998 and 2001, broadcast network advertising costs rose a compounded 46 percent according to the American Association of Advertising Agencies and Mindshare, Inc., and larger increases were realized in the highest rated television shows that provide prime audiences for the Campaign. Market conditions and vigorous negotiating by our advertising media contractor in 2001-2002 resulted in television broadcast costs that were flat for the first time in three years. However, the media buying climate for 2003 has been bullish, with an estimated 5-12 percent (inflation) increase in cost over the previous year. FY 2004 funding at the \$170 million level is crucial to maintain advertising time and space and continue the Campaign's other essential communications programs to educate the nation's families, parents and youth, about the danger of drug use.

Media Campaign (\$ in thousands)	FY 2002	FY 2003	FY 2004 Request
	\$179,941	\$180,000	\$170,000

National Youth Anti-Drug Media Campaign

Salaries & Expenses Support Cost Table for Media Campaign	
Personnel Compensation (5 FTE)	\$637,000
Total	\$637,000

All Media Campaign costs with the exception of salaries and benefits (Salaries & Expenses appropriation) are paid from the Media Campaign budget (Other Federal Drug Control Programs appropriation).

e. FY 2002 ANNUAL PROGRAM PERFORMANCE REPORT

Performance Goals and Indicators. The Campaign's FY 2002 goals measure its ability to achieve its primary tasks, meet its congressional mandates, and develop messages and outreach initiatives that impact their intended audiences. FY 2002 Goals One and Two are continuing goals from the early phases of the Campaign. Goals Three (b and c) and Four were established in FY 2001, and were selected because, at that time, they were deemed to be reliable indicators of youth anti-drug attitudes and active anti-drug parenting. Note that in this performance plan, the goals have been improved to provide a more accurate measure of the Campaign's impact on youth and their parents as measured by behavior change. A summary of the Campaign's goals and targets from FY 1999 to FY 2002 follows and provides a snapshot of the Media Campaign's progress on Goals One and Two. Complete data for Goals Three and Four, however, will not become available until Fall 2003 due to the lag time inherent in conducting and assessing the NSPY for FY 2002.

Figure 3. FY 1999-FY 2002 Performance Goals and Indicators

Media Campaign Goals	FY 1999		FY 2000		FY 2001		FY 2002	
	Target	Actual	Target	Actual	Target	Actual	Target	Actual
1. Obtain matching pro bono private sector contributions	100%	107%	100%	105%	100%	103%	100%	100%
2. Contacts to NCADI for information	Baseline +09%		+10%	+2%	+10%	+11%	+10%	+1%
3.a. Youth lifetime marijuana use: 8 th Graders (Measure based on Monitoring the Future Survey) <i>Tgt: To achieve a 2.5% annual decrease</i>			22.0% (Baseline)		21.5%	20.3%	20.9%	20.4%
*3b. Youth (aged 12-18) intentions to not use marijuana in the next 12 months *Baseline data or goal has been corrected from FY 2002 Performance Plan. <i>Tgt: To achieve a 2.5% annual increase</i>			85.9%	87.5% (Wave 1 Baseline)	88.1%	86.3%	90.2%	*85.6% *Wave 5 Jan-June. Will be adjusted to include Aug-Dec when available
*3.c. Youth (aged 12-18) perceptions that close friends would strongly disapprove trial use of marijuana in the next 12 months *Baseline data or goal has been corrected from FY 2002 Performance Plan. <i>Tgt: To achieve a 2.5% annual increase</i>			62.5% (Baseline)		64.0%	62.1%	65.6%	*63.6% *Wave 5 Jan-June. Will be adjusted to include Aug-Dec when available
4.a. Monitoring: Percentage of parents who restrict their 12-13 year old children from spending time in the afternoons hanging out with friends without adult supervision. <i>Tgt: To achieve a 10% annual increase</i>			33.6% (Baseline)		37.0%	37.8%	40.7%	*38.4% *Wave 5 Jan-June. Will be adjusted to include Aug-Dec when available

4.b. Communication: Percentage of parents who have had a discussion with their 12-13 year old child in the last 6 mos. about avoiding drugs <i>Tgt: To achieve a 2.5% annual increase</i>	71% (Baseline)	72.8%	75.0%	74.6% *76.1% <i>*Wave 5 Jan-July. Will be adjusted to include Aug-Dec when available</i>
--	-------------------	-------	-------	---

Media Campaign Goals One and Two Highlights.

Goal One: Ensure that the Campaign receives 100 percent pro bono matches. In each Phase of the Campaign, every media outlet that accepts the campaign's paid advertising has been required to match the government's purchase with an equal value of public service in the form of public service announcement (PSA) time or space, or other in-kind contributions (e.g., program content, other activities/programs related to youth substance and abuse prevention). This public service time is shared with other public health and related organizations to promote anti-drug related messages, such as prevention of underage alcohol and tobacco use, early childhood development, teen volunteering, crime prevention, and involvement in after-school activities. In FY 2002, the Campaign's advertising component obtained 100 percent pro bono match from media outlets.

Since Phase III began, the Campaign's pro bono match donation has helped many youth and parent serving organizations dedicated to the anti-drug effort. Since they began the match program, the following organizations have reported the following:

- National Mentoring Partnership gained 8,000 new mentors for at risk youth
- National Fatherhood Initiative reported three times more calls to their hotline
- Connect for Kids/Benton Foundation gained 600 percent increase in web site traffic
- Alanon/Alateen recorded a 200 percent increase in calls to their Spanish language hotline

These organizations attribute a major share of these successes to the Media Campaign.

Goal Two: Increase annual contacts to the National Clearinghouse for Alcohol and Drug Information (NCADI): Contacts (telephone calls, e-mails, and written requests) to NCADI continued to increase steadily, but in FY 2002, the Campaign was unable to meet its goal of achieving a 10 percent increase in contacts from the previous year. However, the Campaign's inability to reach this goal is offset by its successes in its non-advertising component. In FY 2002, the Campaign expanded its flagship parenting web site, TheAntiDrug.Com, making it more user friendly and improving visitor access to Campaign resources. Many of the Campaign's resources were placed online and could be downloaded, providing many parents with instant access to anti-drug information, rather than having to order through the clearinghouse. Since the site's redesign, traffic to the site has increased significantly and subscriptions to the Campaign's free parenting tips email service has more than doubled. As of July 2002, more than 16,000 parents subscribed to the service. For these reasons, this goal will be removed as the priorities shift to driving inquiry traffic to other venues.

In addition, the Campaign has developed a number of partnerships with national organizations, such as the Society for Human Resources Management, the National Parent Teacher Association and the American Academy of Pediatrics, to distribute Campaign materials, or have collaborated with them to develop anti-drug resources for their constituents. For example, in March 2002, the Campaign developed "Positively Drug Free: A Prevention Handbook" in cooperation with the YMCA for use in their more than 2,400 after-school youth programs. The YMCA will use the guide as a permanent tool in their leadership training. Other youth organizations have approached the Campaign about adopting this guide for their programs.

Media Campaign Goals Three and Four Highlights. These goals were established in 2001, using baseline data from 2000 (Waves 1 & 2). With one exception, Goals Three and Four rely on NSPY data. The exception is Goal 3a, the data for tracking lifetime marijuana use among eighth graders. This data is from the University of Michigan's Monitoring the Future (MTF) study and was chosen over similar data collected in the NSPY because of the MTF's larger sample sizes and smaller relative confidence intervals, making it more accurate for this goal than NSPY.

Goal Three (a). Lifetime marijuana use for youth (8th Graders). Ultimately, the Media Campaign is among the national prevention efforts expected to contribute to an overall decline in youth drug use. Marijuana, however, is the key drug of focus in the Media Campaign. The established target (3a) was to annually reduce reported lifetime use of marijuana by eighth graders by 2.5 percent each year from its 22.0 percent baseline in FY 2000. Between FY 2000 and FY 2001 there was a substantial percent reduction in reported lifetime use. There were no additional declines in reported marijuana use in FY 2002, that is, the prevalence rate remained the same as the previous year.

Goal Three (b). The percent of youth aged 12 to 18 who have strong intentions to not use marijuana at all in the next 12 months. The Campaign follows a scientifically based logic model that identifies an adolescent's intention to use drugs as a prime predictor of whether they will engage in that behavior. Campaign messages are crafted to educate youth and nurture a strong anti-drug sentiment that will counter pro-drug influences. Copy testing results (which are one-on-one interviews the Campaign utilizes to test the effectiveness of advertising before it is aired) have demonstrated that the ads utilized during FY 2002 were well received by the Campaign's target audiences.

Goal Three (c). The percent of youth aged 12 to 18 who think that their close friends would strongly disapprove if they (the respondents) were to use marijuana nearly every month for the next 12 months. Drug prevention research has long shown a strong correlation between the perception of drug use as normative, socially acceptable behavior, and the likelihood that an individual will initiate drug use. This goal was selected to gauge these perceptions among youth, but results are inconclusive for 2002 until data are available for August through December of 2002.

Goal Four (a). The percent of parents who restrict their 12- to 13-year old children from spending time in the afternoons hanging out with friends without adult supervision. This goal

was selected because it was a key parenting message platform and the research indicates that there is a positive correlation between parental monitoring and youth intentions to avoid marijuana use. The new goal for FY 2004 is a 2.5 percent annual increase the percentage of parents who report monitoring their children's behavior, in one or more recommended ways.

Goal Four (b). The percent of parents who have had a discussion with their 12- to 13-year old child in the last six months about specific things their child could do to avoid drugs. Drug prevention research suggests that this parenting behavior has the highest association with youth intentions to avoid drugs (among non-using youth), thus it is one of the primary parenting messages the Campaign employed. The baseline for this statistic is 71.0 percent for 2000 with the subsequent goal of increasing parental reporting discussing resistant skills with their youth by 2.5 percent annually. 2001 results indicated success with this measure but results are not yet available for August through December of 2002.

FY 2002 Campaign Accomplishments: The Campaign uses a number of strategies to reach parents and youth with anti-drug information and resources such as advertising, interactive media, corporate participation and many others.

- Developed "Keeping Your Kids Drug-Free: A How-To Guide for Parents and Caregivers" endorsed by the American Academy of Pediatrics and the National PTA. Nearly one million copies of the guide were requested from the National Clearinghouse for Alcohol and Drug Information in under eight months (2002).
- Launched the "@Work Program" to help employers educate working parents about drug prevention. Employers are provided with Campaign print materials as well as a special web site intranet replete with parenting tips and advice articles to share with their employees. More than 500,000 employees received drug prevention information through this program.
- Developed "Positively Drug Free: A Prevention Handbook" in cooperation with the YMCA for use in their more than 2,400 after-school youth programs. The YMCA will use the guide as a permanent tool in their leadership training. Additionally, other youth organizations have approached the Campaign about adopting the guide in their programs.
- Partnered with Borders Books, Inc., to distribute 250,000 parenting guides at special displays in 1,100 stores nationwide.
- Launched DrugStory.org providing instant access to drug information, research and experts for entertainment and feature writers. Through this web site and other entertainment industry outreach, the Campaign encourages accurate portrayal of drug consequences in movies and television. Visitors have accessed more than 260,000 pages of drug information since the site was launched in December 2001.

- Hosted a series of expert roundtables for entertainment media to encourage accurate portrayal of drug use and its consequences. Topics covered have included drugs and terror, ecstasy, marijuana, and teen drug treatment. More than 200 writers and executives from every major network, cable channel and film producer attended.
- Partnered with the Newspaper Association of America's Newspapers in Education program to create a youth anti-drug supplement for local newspapers. To date, more than 200 newspapers in 43 states have published articles and artwork depicting positive alternatives to youth drug use generated by youth themselves. The special sections, which have reached more than 5 million readers, also provide youth with contact information for obtaining additional drug prevention resources.
- Redesigned the Campaign's award-winning youth website, Freevibe.com, which attracted nearly 3 million visitors in fiscal year 2002. Over 200,000 youth have submitted their anti-drugs, or what stands between them and drugs. The average time spent browsing the website has risen since the site's original launch in 1999 from 3-4 minutes to 8-9 minutes.
- Expanded the Campaign's award winning parent website, TheAntiDrug.com, to include detailed information on the link between drugs and terror and added the availability of free e-mail parenting tips in Spanish. Enrollment for the monthly parenting tips has tripled during FY 2002 and monthly page views have increased by an average of 153 percent in the first 3 months of the Drugs and Terror initiative. These multi-language sites are advertised through various parent and youth audiences via niche, general market, and ethnic market advertising, as well as promoted through partnerships with some of the most highly trafficked web sites and search engines on the Internet.
- Developed and launched permanent anti-drug microsites on Lycos.com, which receives close to 40 million unique users each month and About.com, which receives close to 25 million unique users each month.
- As of September 2002, total pro bono match value received was \$665 million, based on paid media valued at \$618 million, reflecting a 107 percent response from media in pro bono match. Most of the match (86 percent) took the form of media time and/or space to air or place PSAs, with the remaining match occurring in a wide variety of forms, from network-produced anti-drug commercials with on-air talent, to in-school programs, and community events.
- The corporate participation of the Campaign, which began in 2002, has resulted in over \$12 million of in-kind contributions to the Campaign and over a half a billion additional impressions.

Verification and Validation. The statute that authorizes the Media Campaign requires ONDCP to evaluate the Campaign's ability to reach its intended audiences. For the first two formative phases of the Campaign, it was evaluated through contracts managed by ONDCP's Office of Planning and Budget. In Phase III however, due to the multi-dimensional nature of the Campaign, its evaluation required a more extensive methodology. ONDCP asked the National Institute on Drug Abuse (NIDA) to conduct the Phase III evaluation.

The Phase III evaluation is comprised of the National Survey of Parents and Youth (NSPY), a continuous series of cross-sectional and longitudinal surveys conducted at six-month intervals called Waves, over a four-year period (see chart below). Data collection began in November 1999 and is scheduled to continue through the summer of 2003 with a final report to be submitted in Spring 2004. Approximately 34,200 total interviews of parents and youth from the same family will be conducted over the evaluation period.

Data Collection Dates	Corresponding Wave	Evaluates Efforts for Fiscal Year:	Report Issued
January-June 2000	Wave 1	First half of FY 2000	November 2000
July –December 2000	Wave 2	Second half of FY 2000	April 2001
January-June 2001	Wave 3	First half of FY 2001	October 2001
July-December 2001	Wave 4	Second half of FY 2001	May 2002
January-June 2002	Wave 5	First half of FY 2002	Nov 2002
*Final Report	All Waves	Campaign's Phase III	Nov 2004

*Unless the contract is extended.

The most recent NSPY report issued in November 2002, identifies a number of findings that suggest the Campaign is achieving many of the desired outcomes with parents, but isn't as successful in achieving the desired outcomes with youth. These findings include:

- About 70 percent of parents and youth recall seeing one or more of the Campaign's anti-drug advertisements every week.
- Across the board, data indicate significant progress in affecting the anti-drug beliefs and behavior of parents. When compared to Wave 1 (baseline data), parents of 12-18 year olds are more likely to report that they are talking to their children more frequently about drugs, have greater intentions to discuss drugs with their children, and are monitoring their child's behavior more than before.
- Data also indicates that the Campaign is resonating particularly well with fathers and parents of male youth, showing a direct correlation between viewing Campaign parenting messages and an increase in their intentions to monitor their children more closely.

However, the November report data did not demonstrate that the Campaign was producing positive effects on youth ages 12-18. But there were some positive advances within certain age groups, and genders, including:

Perceived self-efficacy in rejecting marijuana use increased significantly among 14-15 year olds since the first Wave of NSPY; and an increasing percentage of (non-drug using) male youth (ages 12-18) report that they perceive that none or few of their friends used marijuana even once or twice in the past 12 months.

The NSPY findings also closely mirror the results from other sources of qualitative and quantitative data from research the Campaign regularly conducts to gauge its effectiveness and monitor its overall progress. Each year, the Campaign typically conducts:

- **Formative Creative Evaluation Panels** - This is qualitative research designed to obtain target audience input in the early stages of creative development (storyboard, concepts, and issues). The purpose is to provide diagnostic information and guidance for advertising development early enough to effect necessary changes and improvements. It serves to reduce the risk of work at later stages that is off-strategy, controversial or of dubious appeal when it may be impossible or too costly to change.
- **Quantitative Copy Testing** - Completed television ads for the Campaign are quantitatively tested for effectiveness prior to airing. In addition, they are checked to insure that they do not promote any unintended negative effects.
- **Ad Tracking** - Provides ongoing feedback for fine-tuning Campaign elements, including media and message delivery. Elements are assessed individually in order to compare media effectiveness (sales impact). It also determines which media will provide the highest return on advertising investment (productivity) at varying levels. Ad tracking data identifies the most appropriate media plan for the budget and marketing objectives, based on sales impact and cost-effectiveness.

These activities have yielded additional insights into the Campaign's progress in FY 2002 including:

- The Media Campaign's tracking found a strong correlation between exposure to advertising and the development of strong anti-drug beliefs among youth. Youth with higher exposure to the advertising demonstrated increased knowledge of the risks of drug use and reported believing that "Staying drug-free will help me achieve my goals and do everything I want to do with my life."
- Among advertising copy tested during FY 2002, at least 80 percent of surveyed parents and youth found each ad's strategic message to be believable.
- In FY 2002, the Campaign began a major narco-terrorism initiative, launching two

ads that demonstrate the link between terror activities and drug use. Copy testing of these ads found that they educated parents and youth of the link between drugs and terrorism and weakened adolescent/young adult intentions to use drugs.

Parents viewing Campaign parenting ads were more apt to take away a pro-monitoring parenting message and believe that “whether or not my child tries marijuana primarily depends on what I do as a parent.”

The Campaign also looks to data from other national surveys, and research it conducts (e.g., quantitative tracking research, formative qualitative testing and quantitative copy testing) to provide additional feedback on its effectiveness. Findings from these sources are a bit more optimistic than the NSPY, and suggest that the Campaign is impacting youth attitudes and behavior.

- According to the 2002 Monitoring the Future survey, marijuana use in the past year decreased significantly among 10th graders, reaching its lowest rate since 1995. Marijuana use by 8th graders also has declined in recent years and is now at its lowest level since 1994.
- According to the 2001-2002 *PRIDE* survey, more than nine out of ten students in 6th, 8th, 10th and 12th grades in Ohio reported seeing/hearing anti-drug advertising in the past three months; 74.5 percent of them claimed that the commercials made them less likely to use drugs.
- Also from the *PRIDE* survey, students (nationwide) who reported that their teachers and parents warned them ‘a lot’ about the harms associated with drugs, were less likely to use drugs, than those whose parents and teachers never warned them.
- The 2000 National Household Survey on Drug Abuse (released in September 2001), revealed a significant reduction of current use of any illicit drug among 12-13 year-old youth, the Campaign's prime target audience, from 3.9% in 1999 to 3% in 2000, while inhalant use also decreased significantly in the same time period.
- The Partnership for a Drug Free America's *PATS 2000* survey found that 49 percent of youth who frequently saw anti-drug PSAs demonstrated increased knowledge of the risks of drug use compared to those who saw the ads less frequently.

Next Steps: ONDCP will continue to execute the Media Campaign in FY 2004 but with significant modifications introduced in 2002. In Spring 2002, the Media Campaign convened a series of taskforces (composed of behavioral change experts, advertising executives, PDFA, ONDCP staff, researchers and target audience specialists) to review the Campaign's strategy and current operating practices, to fine tune its focus and ultimately increase its impact with youth. Based on the task force recommendations and internal direction within ONDCP, in FY 2004, the National Youth Anti-Drug Media Campaign will operate with the following modifications:

- The creative development process has been revised to increase ONDCP involvement and streamline the approval process among ONDCP, PDFA, and the Campaign's advertising contractor.
- All TV advertising will be tested for effectiveness prior to airing. Due to time constraints, some of the Campaign's advertising had previously been aired prior to testing. The revised creative process will facilitate timely ad delivery and testing.
- The youth target audience has been changed from ages 11-14, to focus on ages 14-16, the years where youth appear to be at greatest risk for initiating drug use. However, advertising messages will be crafted so they also resonate with younger youth and the ads will also be tested among early adolescents to ensure effectiveness.
- Youth strategic message platforms have been reduced from three to two, simplifying the production of ads and bolstering effectiveness through a more focused approach. The task force recommended eliminating the "resistance skills" message platform as a separate message vehicle. It recommended continuing the use of the "Negative Consequences" platform and the "Normative Education/Positive Alternatives," which will encompass resistance skills messaging where appropriate.
- The Media Campaign will focus primarily on the prevention of youth marijuana use, as it represents the preponderance of all youth drug use, and therefore offers the best opportunity for meaningful reductions in use.
- Strategically targeted, high impact, paid ads--at both the national and local levels--are still the most efficient and effective means of changing attitudes and intentions to use drugs among youth. It is also the most cost-effective means of reaching baby-boomer parents who may be ambivalent about sending strong anti-drug messages to their children or who may doubt their own influence with their children on the drug issue.

SUMMARY

The National Youth Anti-Drug Media Campaign is one of the largest social marketing efforts ever undertaken by the government. Established in 1998, it is rooted in scientifically proven behavior change theory, and is guided by a host of communications and marketing professionals, educators, researchers, prevention and treatment specialists, and public officials. The Campaign is a cornerstone of the President's *National Drug Control Strategy* as it contributes to the goal of 'stopping drug use before it starts.'

The National Survey of Parents and Youth and the Campaign's internal research indicate that the Campaign has been meeting a number of its goals. Since its inception, the Campaign typically negotiates more than 100 percent pro bono match from its media vendors, is consistently increasing the number of contacts to its Clearinghouse, is driving traffic to its websites, and is positively impacting the nation's parents and youth anti-drug beliefs and behavior. Although the Campaign has faced a few set backs in reaching the nation's youth, it has

undergone a significant revision and has a new strategy and a number of processes in place to overcome past deficiencies. The FY 2004 Performance Plan is the first that outlines and tracks the Campaign's progress using this new paradigm.

2. DRUG FREE COMMUNITIES SUPPORT PROGRAM

FY 2004 ANNUAL PERFORMANCE PLAN, FY 2004 BUDGET REQUEST, AND FY 2002 ANNUAL PROGRAM PERFORMANCE REPORT

a. PROGRAM OVERVIEW

The Drug Free Communities (DFC) Support Program was created by The Drug-Free Communities Act of 1997, Public Law 105-20 (DFC Act), which amended the National Narcotics Leadership Act of 1988, “to establish a program to support and encourage local communities that first demonstrate a comprehensive, long term commitment to reduce substance among youth, and for other purposes.” This program supports the Administration’s *National Drug Control Strategy*. Congress reauthorized the Drug-Free Communities Support Program through the passing of HR 2291 in November 2001. The President signed this legislation into law creating Public Law 107-82 in December 2001 and announced his support of community anti-drug coalitions. Public Law 107-82 extends the DFC Program from FY 2003 through FY 2007 and authorizes \$399 million to carry out the expanded program over five years.

In addition, the legislation provided \$2 million funding for the National Community Anti-Drug Coalition Institute (Coalition Institute), which was awarded to the Community Anti-Drug Coalitions of America (CADCA) through a competitive grant process in September 2002.¹⁹ The main goal of the Institute is to provide education, training, and technical assistance with an emphasis on coalitions in underserved areas, developing and disseminating evaluation tools to better assess and document coalition outcomes, and bridging the gap between research and practice.

Significantly over the last decade, community anti-drug coalitions have moved to the forefront of America’s effort to develop and implement successful, comprehensive and data-driven strategies aimed at reducing youth substance abuse. In 1998, Congress and the Office of National Drug Control Policy instituted the DFC grant program to serve as a vehicle to maximize the use of this important modality for engaging “the community at large” in preventing drug abuse among our nation’s youth. By design, community coalitions attempt to bring multiple sectors of the community together to work on reducing and/or preventing substance abuse and to thus impact the resulting myriad of social and economic costs. During the first year of the DFC Program, 92 community anti-drug coalition grants were awarded in 46 states. In the subsequent four years (FY 1999 to FY 2002) of the program, grant awards were made as follows: FY 1999—124 grants; FY 2000—94 grants; FY 2001—157 grants, and FY 2002—70 grants. A total of 537 community coalitions were awarded grants during the first five-year cycle of the DFC grant program. At the beginning of FY 2003, 531 community coalitions are currently receiving grant funds with six having been discontinued for various reasons.

FY 2003 marks the start of the second “five-year grant cycle” (FY 2003-FY 2007) for the DFC program. FY 2003 funding is expected to extend the total number of newly funded

¹⁹ The Coalition Institute was authorized at \$2 million for FY 2002 and FY 2003, and \$1 million in FY 2004.

coalitions to approximately 166 in FY 2003 with continuation funding going to approximately 440 others for a total of 606. (Note: In FY 2003, the original grantees from FY 1998 will no longer be eligible for continuation funding and must compete as though they are new applicants). In addition, approximately 12 grants for mentor coalitions will also be awarded during FY 2003. These grant funds (up to \$75,000 each) will be made to successful DFC grantees that have been selected based on an exceptional track record of developing effective coalitions.

Individual DFC grant awards are for no more than \$100,000 per year (up to a maximum of five years) and are only made to established local community anti-drug coalitions. Applicants are required to match the amount of their grant request with non-federal funds or in-kind contributions throughout the life of their grant. Eligible coalitions that receive funding under this program are expected to serve as catalysts for increased citizen-centered participation and greater collaboration among all the community sectors and organizations represented in the coalition. Together members of the coalition work to develop and implement community based comprehensive, long-term strategies to reduce substance abuse among youth. Grantees are required to submit a reapplication each year for funding to the Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs, in the Department of Justice (OJJDP/OJP/DOJ).

Each year ONDCP develops inter-agency agreements (IAAs) with OJJDP and the Center for Substance Abuse Prevention, Substance Abuse and Mental Health Services Administration, under the Department of Health and Human Services (CSAP/SAMHSA/HHS). The IAAs outline the specific grant management, implementation and support responsibilities to be provided by these federal partner agencies. OJJDP provides day to day management and oversight of the DFC grant program and CSAP is responsible for the monitoring, coordination and program management tasks related to the National Anti-Drug Coalition Institute cooperative agreement. Both OJJDP and CSAP have extensive community based prevention grant management and program monitoring experience, expertise and organizational capability to support the overall implementation of both the DFC Program and the Coalition Institute.

In FY 2003, several performance enhancement action steps are planned at both the grantee implementation level and at the national program oversight level. For example, Coalition Institute staff will work directly with grantees to enhance coalition member skills in program evaluation, data collection and dissemination, in recruiting, involving and keeping coalition members, needs assessment, analysis and program planning, community planning and evidence-based prevention program identification. At the national level, examples include expanding program-monitoring activities aimed at analyzing and synthesizing coalition annual reports, utilization of newly required local outcome data on drug use trends, and the incorporation of such information and data into ongoing national program improvements. Additionally, this national level program performance will be assisted by the new Coalition Institute project which has been tasked to convene an expert panel of community and substance abuse researchers for the express purpose of developing improved strategies for evaluating, monitoring, and reporting on the work of community coalitions.

Finally, in support of fostering a stronger focus on measurably reducing drug use in

America, the program has accelerated the collection, aggregation and analysis of selected core measure data on youth drug use. The four core measures include: (1) age of onset of any drug use, (2) frequency of use in the past 30 days, (3) perception of risk or harm of drug use and (4) perception of disapproval of use by peers and adults. A special "data call" process has begun in the first quarter of FY 2003 and will provide ONDCP with a rich source of local data to compare with state and national survey data sources. Over time, it is reasonable to expect that this enhanced focus on local measurement will also benefit a wide array of public and private efforts to measure results in other efforts to reduce drug use.

b. MISSION STATEMENT

The Drug Free Communities Support Program mission is to increase citizen participation and strengthen community coalition efforts aimed at reducing substance abuse among youth in communities throughout the United States.

c. FY 2004 PERFORMANCE PLAN

Performance Planning. The DFC FY 2004 Performance Plan supports the President's goals to reduce past-month, or "current," use of illegal drugs in the 12–17 age group by ten percent by 2004 and by 25 percent by 2007. The goals, targets, and measures for FY 2004 will continue the long-term path outlined in the Strategic Plan. The following figure (Figure 1) shows the relationship of DFC's goals and objectives to the *National Drug Control Strategy* goals and national priorities.

The three goals of the DFC Program are:

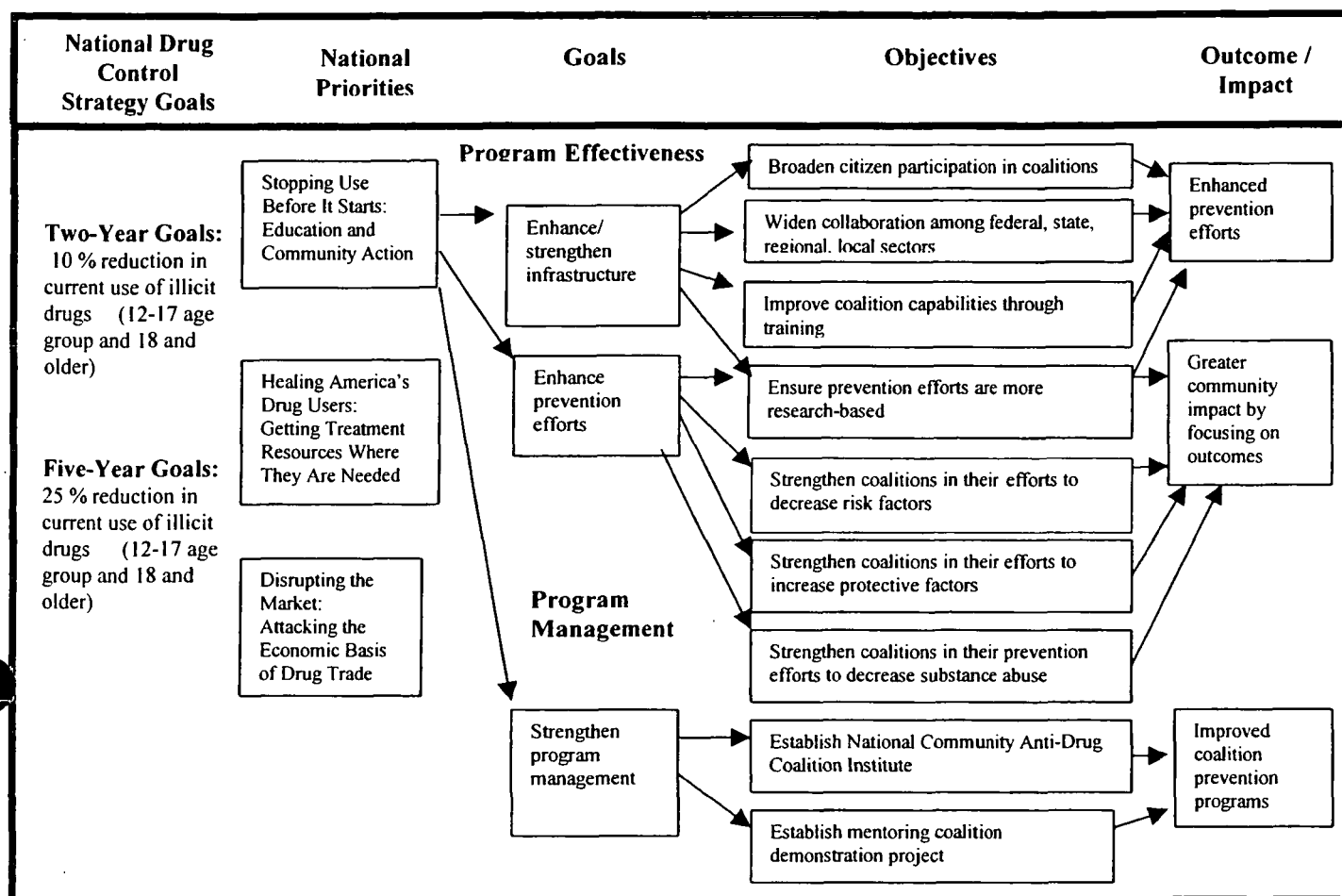
Coalition Effectiveness

- Enhance and strengthen coalition infrastructure
- Enhance coalition prevention efforts

Program Management

- Strengthen ONDCP's overall management of the DFC program

Figure 1. DFC Goals related to National Goals and Priorities



The *Program Effectiveness* goals and objectives are derived from a logic model (Figure 2) that was developed as the basis for the DFC national evaluation project. To measure the success of coalition activities and to establish accountability for the funding provided, ONDCP DFC staff determined that the logic model provided the most plausible conceptual framework for accomplishing the mission of increasing citizen participation and strengthening coalition efforts to reduce youth substance abuse.

The objectives under “enhanced/strengthened coalitions” provide the framework for coalition effectiveness based on infrastructure building. These objectives are largely systemic or organizational in character, but are essential elements for the development of new coalitions and critical for the long-term success of mature coalitions. The logic model focuses on four major areas: broader citizen participation (enhance the base), improved coalition capabilities (expand the toolkit), increased collaboration (extend the reach), and greater use of research-based strategies and evaluation feedback.

The planning for FY 2004 addressed the challenges for more experienced coalitions to progress beyond a major focus on coalition organization and infrastructure-building to more of a focus on developing and executing multiple strategies that have proven effectiveness in reducing drug use among youth. The logic is that coalitions typically move in a continuum--first improving infrastructure and increasing collaboration with the various sectors in the community, then designing and encouraging the implementation of prevention interventions that address the problems associated with risk and protective factors. The DFC program leadership, including the Advisory Commission on Drug-Free Communities, promotes the view that coalitions should, whenever possible, avoid operating direct service prevention programs themselves. The preferred approach is to encourage other direct service sectors of the community (e.g., the schools, juvenile court, child and family services, etc.) to adopt and carry out those drug prevention strategies that have proven to be most effective in other settings, especially if those strategies are supported by good research.

Three additional objectives were added for the FY 2004 plan to address this progression for more experienced coalitions. Briefly stated, these objectives are intended to strengthen coalitions in their focus upon targeting specific, measurable outcomes: (1) to decrease risk factors in the community; (2) to increase protective factors; and (3) to decrease substance abuse indicators.²⁰

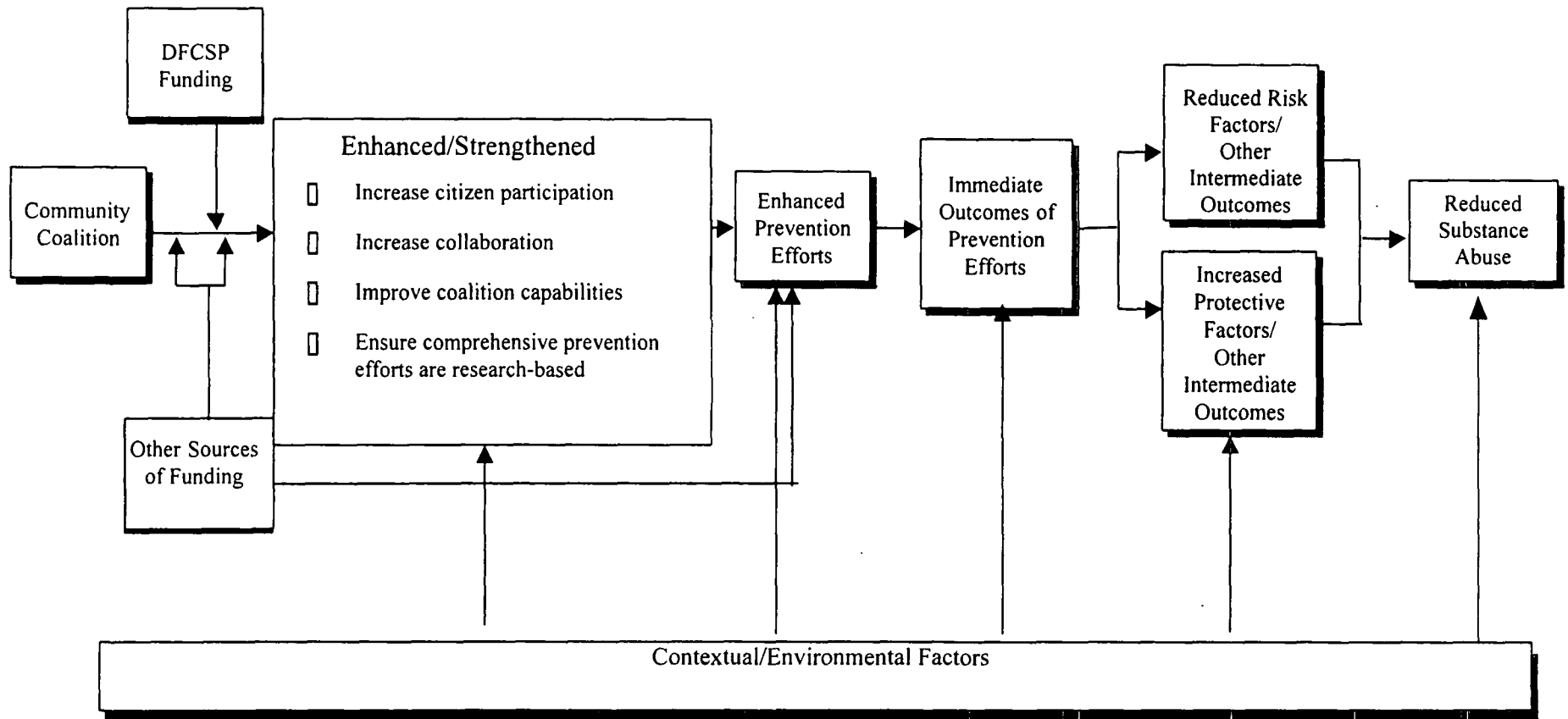
The *Program Management* goal²¹, to strengthen ONDCP's overall management of the DFC Program, was added to enhance the ONDCP DFC staff management function and oversight of the program and to ensure that ONDCP's management of the DFC Program is on track for improvement as the program matures and expands. More effective and efficient management will both help identify coalition assistance needs and guide development of targeted interventions to help coalitions achieve specific program goals and outcomes. These efforts will produce improved accountability by improvements in coalitions' ability to measure progress towards desired outcomes.

There are two specific Program Management objectives created by statutory requirement in the DFC reauthorization (Public Law 107-82). These objectives are to create the National Community Anti-Drug Coalition Institute and to establish a mentoring coalition demonstration project.

20 Risk and protective factor definitions provided with specific objectives. See footnotes 22-24.

21 The Program Management goal is not a part the logic model.

Figure 2
Drug Free Communities Program Logic Model



An additional focus for program management, which is not addressed by a specific measure, is the improvement of the national evaluation plan. The current evaluation plan, its logic model, and the evaluation contractor have been in place for more than four years. The scope of the contractor's work, monitored under a grant from OJJDP, is limited by the methodological difficulties of measuring results from so many different models of community coalitions, each of which have specified widely varying objectives around reducing drug use among youth. Somewhat surprisingly, many applicants propose very ambitious efforts to achieve drug reduction targets, particularly considering that the maximum grant award is \$100,000. In FY 2002, ONDCP and OJJDP began discussions on how the evaluation plan and process for the DFC Program could be improved. ONDCP and OJJDP will work to achieve three specific improvements in program monitoring and evaluation in FY 2003. These include:

- A rating system to be used by OJJDP program managers to determine how well coalitions were meeting the goals and objectives described in their grant applications,
- More regular and uniform submission of outcome data from coalitions on changes in youth drug use in the community,
- An assessment of the current capability of all funded DFC coalitions to measure the nature and extent of drug problems among youth.

Throughout FY 2003, the overall national evaluation approach will continue to be reviewed by ONDCP and OJJDP senior management with additional inputs from the Coalition Institute and from the most successful coalitions in the program. By the end of the fiscal year, we intend to develop a more robust evaluation plan to expand and enhance the work that has been carried out to date. Discussions on this topic are currently taking place between ONDCP and OJJDP senior management.

Regardless of whether additional evaluation methodologies can be developed for the national evaluation, the ONDCP, OJJDP, and CSAP management team are working to more effectively mine the data sources currently available. One example is to intensify our efforts to extract and analyze data in grant applications, continuation applications, and the Categorical Assistance Progress Reports (CAPR) that all grantees submit every six months. The sheer volume of material in these documents is a major analytic challenge that is being partly addressed by OJJDP's implementation of an electronic grants management system (GMS). Future applications, including the FY 2003 applications due in March, will all be submitted electronically (except for those grantees without computer or telephone access). This will enable much easier access and exchange of information among the federal partners, the evaluation contractor, and the Coalition Institute.

At the end of FY 2003, the national evaluation contractor will submit a comprehensive report covering the first five years of program operation (FY 1998 - FY 2002) using CAPR reports and secondary data from other sources. In addition, the evaluation team has been intensively tracking the progress of twenty-one selected sites representing the differing types and locales for DFC community coalitions. These intensive study sites have been visited periodically by the evaluation team and will provide the information to support a qualitative analytic section of the larger report. The five-year DFC national evaluation report will be printed and widely

distributed to grantees, government officials, and interested agencies and key organizations concerned with the prevention of drug use among youth.

Performance Goals and Indicators. The fundamental idea behind community anti-drug coalitions appeals to the common sense proposition that America's communities have an enormous capacity for problem solving. Drug use among youth is one such problem and its correlation with other problems such as school failure, teen pregnancy, and family dissolution is well researched and widely known. Community coalitions attempt to help communities work smarter to prevent drug use. As this effort requires more than a short-term campaign, community coalitions attempt to construct a public/private community infrastructure that can function over time to prevent drug use where possible and interrupt it when it is starting to spread. Coalitions, therefore, need to involve many sectors of the community, employ a variety of strategies to address their specific drug problems, and determine with some precision which drug problems should be priorities for both short-term and long-term efforts. Consequently, performance goals and objectives include both organizational and strategic elements.

The Coalition Effectiveness objectives supporting Goals One and Two for FY 2004 (See Figure 3), which reflect program contributions to supporting the *strategy*, are summarized below.

Goal One: Enhance and strengthen infrastructure

1a. *Increase citizen participation in prevention efforts* is based on the logic model's identification of this area as the first step toward achieving the outcome of enhanced prevention efforts. The associated target for FY 2004 is a ten point increase in the number of coalitions that report an increase from the previous year in citizen involvement in the coalition's prevention efforts. By citizen involvement, we mean the active inclusion of those representatives of key sectors of the community who can have the greatest impact in influencing youth behavior and those environments that most impact youth. This objective is important because we believe that only a few mature coalitions have reached an optimal level of participation and engagement from the broader public. Youth drug use can easily become an accepted part of youthful rebellion unless widespread, commonly understand community norms against use are established and supported by parents, community leaders, and young people themselves. In FY 2004, we plan to sharpen the focus of this objective by better defining the optimal level of citizen involvement with concrete examples of important roles that citizens can play in achieving the goals of community anti-drug coalitions. We will develop a rating scale to help indicate where any given coalition might be on the continuum.

1b. *Improve coalition capabilities* is an element of the logic model framework, and indicates that certain key capabilities need to exist in DFC coalitions if they are to measurably enhance local prevention efforts over time. The FY 2004 target is to achieve a five point annual increase in the number of coalitions that report they have provided certain core capability training to coalition staff and key volunteer leaders. This objective is important in that there is currently no formal mechanism for earning credentials designed for leading community coalitions or operating collaborative initiatives. ONDCP's federal and private sector partners have developed an array of important training and we actively encourage coalitions to make the growing menu of valuable

training to their staff members and volunteers. For FY 2004, we plan to develop a taxonomy of skill sets that key members of coalitions need in order to achieve better results in their efforts to reduce drug use. This would complement objective 1a which recognizes that certain sectors need representation while 1b recognizes that there are key capabilities needed for optimal achievement. Additionally, we will develop a rating scale that local project leaders can use for self-assessment. Outside evaluators could also use such a rating instrument to help assess where coalitions should strive to increase their skill sets.

1c. Increase interagency and intergovernmental collaboration in coalitions is aimed at strengthening collaboration among federal, state, regional, local, and tribal governments and other sectors and organizations. Coalitions will report data on how they promote or engage in community processes and further describe the mechanisms used to carry out various types of collaborative strategies or initiatives. The DFC target for 2004 is that 79 percent of the coalitions report they are using such community processes (e.g., holding community hearings on emerging drug problems, pooling public/private resources to attack an identified problem, establishing ad hoc task forces to work on a particularly vexing drug problem, or developing a media plan to draw attention to a new drug threat). This number of 79 percent is high but the objective is so central to the operation of community coalitions that those that do not use community processes will cause us to review their operations to see whether they comply with the conditions of the grant. Using our new Coalition Institute, in FY 2004 we plan to further refine our definitions of "collaboration" and operationally define those mechanisms so that we can better determine whether DFC coalitions are using them to full advantage.

1d. Ensure prevention efforts are more comprehensive and evidence-based and consistent with identified needs, will be measured through the national evaluation questions on data collection. Successful progress toward this goal will be indicated by 56 percent of coalitions (i.e., coalitions existing as of FY 2000 baseline) reporting they collected data on long-term outcomes and 72 percent (of those reporting they collected data) reviewed the data for planning. This objective continues to grow in importance as many studies report that, too often, community coalitions and prevention practitioners do not use the best available knowledge, research findings, or best practices when they attempt to address various types of drug problems. The DFC program leaders believe that community coalitions, while typically not operating direct service programs, should become more potent forces in encouraging the use of best practices to solve drug problems. There is, of course, a delicate balance between using proven strategies and attempting to craft new approaches that may have the potential to be even more effective.

Goal Two: Enhance prevention efforts

Among the concepts that have proven to be very useful at the practical level and also supported by a substantial body of research are "risk and protective factors." They appeal to common sense but are also highly sophisticated constructs that lend themselves to the kind of careful measurement and analysis necessary in the age of accountability. Furthermore, the risk factors and protective factors can be used across several domains including the individual, the family, the workplace, the community, and even the nation. The CAPR progress report forms have a variety of questions that help capture each coalition's efforts to decrease risk factors and increase

protective factors in their communities.

2a. *Strengthen coalitions in their prevention efforts to decrease risk factors*²² in the community.

The DFC target is that 35 percent of coalitions (from those coalitions responding as of FY 2003) responding report that they decreased risk factors in youth. Each grantee selects the risk factors it proposes to decrease based on local needs assessments.

2b. *Strengthen coalitions in their prevention efforts to increase protective factors*.²³ The DFC target is that 35 percent of coalitions (from those coalitions responding as of FY 2003) responding report that they increased protective factors. The protective factors selected by the coalitions for targeting will be based on the needs assessment in their own strategic plans.

2c. *Strengthen coalitions in their prevention efforts to decrease substance abuse indicators*.²⁴ The DFC target is that 35 percent of coalitions (from those coalitions responding as of FY 2003) responding report that selected key indicators of substance abuse in project communities show improvement. As one might expect, coalitions which are better developed and more mature do a better job of measuring drug use and utilizing substance abuse indicators (e.g., the number of disciplinary actions in schools as a result of drug use, the number of juvenile court cases with substance abuse as a presenting problem, etc.)

For all three of these new indicators, we plan to work in FY 2004 to differentiate among coalitions at three stages of development or maturity. It is reasonable to expect that mature coalitions have bolder targets and better results than new coalitions or those at an intermediate stage of development. Though this is a challenging measurement issue, we understand the importance of developing more sophisticated tools.

Goal Three: Strengthen program management

The Program Management objectives supporting Goal Three for FY 2004 (See Figure 3), which reflect coalition contributions to supporting the *National Drug Control Strategy*, are summarized below.

3a. *Establish National Community Anti-Drug Coalition Institute.* ONDCP responded to the legislative requirement to create a National Coalition Institute by developing an interagency agreement (IAA) with the CSAP so that they could conduct a fair competition for the operation of such an institute. This process was carried out in the spring and summer of FY 2002. In September of FY 2002, a grant was awarded to The Community Anti-Drug Coalitions of

²² Risk factors increase an individual's vulnerability to drug use and abuse, for example, academic problems, violence, and teenage pregnancy.

²³ Protective factors increase an individual's ability to resist the use and abuse of drugs (strong family bonds, school achievement, and good problem solving skills).

²⁴ Risk and protective factors used in prevention programming are based on the idea that to prevent substance abuse, factors that increase the risk of substance abuse and factors that buffer individuals from the risk are strengthened through program strategies. Based on the research work of David Hawkins, Ph.D. and Richard Catalano at the University of Washington in Seattle.

America to create a National Institute to better support the development and operations of both DFC supported coalitions and others that do not get funding from this program. It has just begun operations at the beginning of FY 2003 but promises to be a valuable resource for our efforts. The Institute strengthens ONDCP's management of the DFC program by providing additional technical resources and training to coalitions described below. The DFC staff will work closely with CSAP, OJJDP and the Coalition Institute in bringing this valuable resource rapidly into service. To ensure that the Coalition Institute targets its resources on enhancing the program's overall performance effectiveness, it is required to submit a strategic plan. ONDCP is currently reviewing this plan. The plan includes four basic strategies:

- Improve coalitions' capacity to measure results
- Improve the structure, operation, leadership and sustainability of coalitions
- Improve coalitions' use of data for needs assessment and strategic planning
- Support implementation of evidence-based prevention strategies

As ONDCP evaluates the Institute's implementation of the strategic plan, we will focus on several measures for which numerical targets are still in development:

- The extent to which the Institute successfully assists coalitions in economically disadvantaged areas
- The extent to which the Institute provides training and technical assistance to coalitions in areas of evaluation, leadership development, and sustainability
- The extent to which the Institute develops improved evaluation tools for coalitions
- The extent to which the Institute assists coalitions to implement evidence-based prevention strategies

We will update this portion of the plan by August 2003 once more precise targets have been agreed upon among ONDCP, CSAP, and the Coalition Institute.

3b. *Establish a mentoring coalition demonstration program.* The Reauthorization legislation for the Drug-Free Communities Program (Public Law 107-82) established the Coalition Mentoring Grants provision so that successful, experienced coalitions might assist new and inexperienced coalitions to develop and grow. Mentor coalition applicants must demonstrate that they have had success in developing and implementing strategic plans, measuring local drug use and evaluating the effects of specific strategies used in their own communities. Furthermore, mentor coalitions will need to demonstrate some success in reducing drug use indicators in their own community. Mentoring coalitions assisting new coalitions in economically-depressed areas will be given priority consideration for funding.

Mature DFC coalitions that meet specific criteria will be able to apply for approximately twelve mentoring coalition grants (up to \$75,000 each) to provide assistance to new or inexperienced coalitions in areas such as organizational development, needs assessment, strategic planning, program evaluation, and sustainability. This new initiative, which will begin on a pilot basis in FY 2003, will be continued in subsequent years if there is sufficient evidence that weak coalitions are being strengthened and new coalitions being created. This assessment

will be made primarily by structured site visits by ONDCP and OJJDP program staff. The amount of each grant award will depend upon the number of coalitions proposed to receive the mentoring and the complexity of the tasks to be undertaken. The grant program announcement for mentor coalitions will be published in March of 2003. Assuming positive indicators from the FY 2003 pilot efforts, ONDCP plans to award approximately 15 new mentor coalition grants in FY 2004.

In the initial discussion concerning the effectiveness for the grant, ONDCP staff are considering how mentor coalitions can reasonably improve the capacity of the “mentee” coalition in areas such as increasing citizen participation, increasing collaboration, and development of evaluation plans. Performance measures for mentor coalitions are currently under development but will likely include some of the following elements:

- Insuring that new coalitions have an adequate governing structure and operational plan
- Insuring that new coalitions develop baseline measures of drug use and related substance abuse problems
- Assisting new coalitions with strategic planning activities
- Assisting new coalitions in securing the collaboration of key community public and private sectors.

Figure 3 Performance Goals and Indicators

DFC Goals * Denotes goals deleted in FY 2001	FY 1999 Target Actual	FY 2000 Target Actual	FY 2001 Target Actual	FY 2002 Target Actual	FY 2003 Target Actual	FY 2004 Target Actual
*Provide grant funds in 3 months	3 mos 3mos	3 mos 3 mos	3 mos 3 mos	*Deleted	*Deleted	*Deleted
*Increase number of funded coalitions	101 124	87 94	144 157	*Deleted	*Deleted	*Deleted
*Increase number of applications from small towns and rural areas		80 30%	40% Data no longer available.	*Deleted	*Deleted	*Deleted
Coalition Effectiveness Goals						
<i>Goal One: Enhance and strengthen infrastructure</i>						
1a. Increase citizen participation in prevention efforts <i>Tgt: 5 point annual increase 01/02 10 point annual increase 03/04</i>		25%	30% 55%	35% 50%	45%	55%
1b. Increase coalition capabilities (provide members' training) <i>Tgt: 15 point annual increase 01/02 5 point annual increase 03/04</i>		Baseline-38%	53% 53%	68% 68%	73%	78%
1c. Increase intergovernmental and interagency collaboration (use collaborative processes) <i>Tgt: 5 point annual increase 01 25 point annual increase 02/03</i>		Baseline-24%	29% 42%	54% 65%	79 %	Maintain 79%

DFC Goals cont.	FY 1999 Target Actual	FY 2000 Target Actual	FY 2001 Target Actual	FY 2002 Target Actual	FY 2003 Target Actual	FY 2004 Target Actual
1d. Ensure prevention efforts are more comprehensive/ research-based and consistent with identified needs.						
1d(1) Collect data on long term outcomes <i>Tgt: 5 point annual increase</i>		Baseline – 36%	41% 51%	46% 54%	51%	56%
1d(2) Review local outcome data (of those that collected data) <i>Tgt: 10 point annual increase</i>		Baseline – 32%	42% 62%	52% 73%	62%	72%
Goal Two: Enhance Prevention Efforts						
2a. Decrease risk factors in the community. <i>Tgt: (TBD) % of coalitions</i>					Establish baseline	35%
2b. Increase protective factors. <i>Tgt: (TBD) % of coalitions</i>					Establish baseline	35%
2c. Decrease substance abuse indicators. <i>Tgt: (TBD) % of coalitions</i>					Establish baseline	35%
Program Management Goal						
Goal Three: Strengthen Program Management						
3a. Establish National Anti-Drug Coalition Institute <i>Tgt: (TBD) % of milestones completed in plan</i>					Baseline assessment of implementation	35%
3a.(1) Targeting assistance to coalitions in economically depressed areas <i>Tgt: (TBD) % in economically depressed areas</i>					Baseline assessment of implementation	25%

DFC Goals cont.	FY 1999 Target Actual	FY 2000 Target Actual	FY 2001 Target Actual	FY 2002 Target Actual	FY 2003 Target Actual	FY 2004 Target Actual
3a.(2) Education, training and technical assistance process <i>Tgt: (TBD) % of targeted coalitions receiving training and TA</i>					Baseline assessment of implementation	35%
3a.(3) Evaluation tools developed for coalitions <i>Tgt: (TBD) % of coalitions increasing knowledge of evaluation concepts</i>					Baseline assessment of implementation	45%
3a.(4) Current prevention research information <i>Tgt: (TBD) % of coalitions increasing knowledge of prevention research</i>					Assess implementation plan	35%
3b. Establish mentoring coalition demonstration project					Evaluate the efficacy of a coalition mentoring grant program to assist coalitions	TBD based on program demonstration project; focus-- Enhancement/ Strengthening area of logic model

Means and Strategies. The DFC staff works hand in hand on the extensive grant management process with OJJDP. This includes the development of the yearly application package and program announcement. Regular meetings are held to address major issues and to strategize about key milestones. Major revisions were made to the 2003 application kit to emphasize the requirement that data be submitted on local drug use, and that evaluation efforts are essential to achieving goals and objectives. Starting in 2003, all DFC applications will be required to be submitted electronically through the Office of Justice Programs' Grants Management System (GMS).

For new grantees, the DFC staff sponsors a two-day conference in Washington, D.C., to introduce grantees to OJJDP program managers, provide information on grant fiscal requirements, reporting requirements, program evaluation issues, and technical assistance resources. The DFC staff also conducts four one-day grantee workshops on the DFC application process in different areas of the country. Additionally, staff present at various conferences to market the program and explain the application process. DFC staff review resumes of prospective peer reviewers and make efforts to recruit new reviewers. Once all grants are submitted, DFC staff participate on some of the peer review telephone conference calls as technical advisors to ensure that peer reviewers understand the eligibility and selection criteria. The DFC staff assists OJJDP in reviewing applications for their eligibility and geographical representation.

The National Evaluation indicated grantee weaknesses in measurement and evaluation capabilities. This resulted in the FY 2003 application form being revised to emphasize the need for data on local drug use, enhanced evaluation of coalition efforts in achieving their goals and objectives, and in a new requirement that coalitions create an annual report on local drug use and present it to key community officials. In addition, new grantees are asked to submit data indicators showing progress in meeting their goals and objectives before they are funded for an additional year. Changes were made to the reapplication process. Current grantees that submit a reapplication for continued funding must also submit data to OJJDP on core measures before they receive additional funding. These changes will be in effect for the grant application process in 2004.

ONDCP DFC staff worked with the national evaluation team to revise the data collection tool that was used in the secondary data analysis in the spring of 2003 to collect more outcome data from coalitions. The data form will collect data on specific core measures of 30-day use, age of onset, perception of risk and perception of disapproval for alcohol, tobacco, marijuana and other substances. The data form was emailed to coalitions in December 2002 with a request to report the data in January 2003. This new format will be used in 2004 as a central reporting tool to capture outcome data from grantees.

In January 2003, the Coalition Institute sponsored an initial meeting of key evaluation experts to consult with ONDCP staff on emerging research on evaluating community coalitions. This illuminated new directions for the national DFC evaluation and provided actual information on ways to improve technical support to coalitions and federal oversight of the program.

ONDCP DFC and OJJDP staffs are reviewing the Categorical Assistance Program Report (CAPR) reporting requirements. The CAPR reporting system will be online in 2003 making the submission of reports easier and facilitating program managers' task of monitoring many grants. Grant information will also be easier to track and monitor.

OJJDP has increased the number of program managers to 16, reducing the coalitions to managers ratio to 33 to 1. This will allow managers more time to monitor grants and follow up on required data reporting. OJJDP's program management will be better prepared to manage the increased number of new grantees in 2004.

Through increased cooperation with OJJDP and coalition stakeholders, and careful attention to program management, DFC will employ the following strategies in pursuit of the best use of people and resources.

ONDCP will partner with private groups such as Community Anti-Drug Coalitions of America and Partnership for a Drug Free America to provide additional resources to coalitions. Coalitions are encouraged to attend the annual CADCA Forum that provides various workshops on coalition development, evaluation, program sustainability and fundraising.

ONDCP will continue to work with CSAP, which has supported the program through the five Centers for the Application of Prevention Technology and through the State Incentive Grant Program. CSAP has publicized the DFC program to State Alcohol and Drug Abuse Directors, who have encouraged many of their State Incentive subgrantees to apply to the DFC program.

ONDCP has begun a series of meetings with CSAP and the Coalition Institute to discuss how DFC grantees may be better informed on science-based prevention strategies and model prevention programs.

ONDCP will encourage coalitions to get involved in local activities related to the National Youth Anti-Drug Media Campaign. This involvement will help coalitions market their program and drug prevention messages to their communities.

The Advisory Commission on Drug-Free Communities, which is made up of eleven members appointed by the President, will meet to discuss specific issues of the DFC program. Several members have direct coalition experience so that they will provide valuable insight and guidance on coalitions.

ONDCP will continue funding, through an interagency agreement with CSAP, for the grant management of the National Anti-Drug Coalition Institute to provide DFC grantees training, technical assistance, and resources in coalition development and program implementation. They will also develop and distribute tools for program evaluation and performance measures. With the increase in resources and assistance, coalitions should be able to provide better data on specific substance abuse outcomes.

ONDCP will request that the Coalition Institute develop a Guide of Best Practices/ Lessons Learned to be distributed to coalitions.

ONDCP will work with other stakeholders who impact the work of the coalitions. Some of the High Intensity Drug Trafficking Area (HIDTA) Programs and the Safe and Drug Free Schools and Communities Programs include DFC coalitions in their programs. ONDCP will encourage closer coordination of coalition activities with these groups.

d. FY 2004 BUDGET REQUEST

In FY 2004, the President requests \$70 million to continue and expand the Drug-Free Communities Support Program. As part of the \$70 million budget, \$64.8 million represents grants to be made directly to more than 600 coalitions throughout the United States. As required by the Drug-Free Communities Act of 1997 (DFCA), coalitions must match their federal grant funds with other non-federal sources of support, including in-kind support. Grantees may receive a maximum amount of \$100,000 for years one, two and three; and up to \$75,000 in years four and five. Continuation funding for four additional years is available after the initial award based on satisfactory performance of the coalition in achieving the results specified in its application. After five years of DFC Program support, any coalition that wants continued funding must apply anew to the program and compete with all other new applicants. They must also meet a higher match requirement as specified in Public Law 107-82.

At the end of the FY 2002 funding cycle, the program is currently providing grant support to 531 community coalitions in all 50 states, the District of Columbia, Puerto Rico, and the U.S. Virgin Islands. It is anticipated that approximately 166 new grants and as many as 440 renewal grants will be awarded in FY 2003 bringing the total number of funded communities to an estimated number of 606. In FY 2004 approximately 208 new grants will be awarded. In addition, approximately twelve mentor coalition grants will be made in FY 2003 to encourage mature coalitions to assist in the development of new coalitions. The Act further directed ONDCP to create a National Community Anti-Drug Coalition Institute and authorized funding for such an institute to begin in FY 2002. Therefore, \$2 million was authorized for the Coalition Institute in FY 2002 and again FY 2003. A \$1 million is authorized for FY 2004.

Grants to Communities (\$64.8 million)

Grants to communities will comprise approximately \$64.8 million of the total request of \$70 million. This amount will support more than 700 community anti-drug coalitions located in all states and major territories of the U.S. ONDCP estimates that approximately 15 mentor coalition grants may be awarded in FY 2004 to existing grantees. The exact number will depend upon the experience of the first cohort of mentor coalitions funded in FY 2003. The Advisory Commission on Drug-Free Communities originally recommended the creation of mentor coalitions and will be carefully monitoring the initial performance of this new program.

National Community Anti-Drug Coalition Institute (\$1.0 million)

An amount of \$1.0 million is requested to fund the third year of a grant to support the National Community Anti-Drug Coalition Institute. Public Law 107-82 states that ONDCP shall award a grant to a national nonprofit organization that represents, provides technical assistance and training to, and provides expertise and broad national-level experience in community anti-drug coalitions. The Coalition Institute grant for \$2 million for one year was awarded in September 2002 to the Community Anti-Drug Coalitions of America (CADCA). Another one-year grant for \$2 million will be awarded in 2003. The Coalition Institute is intended to provide focused scientific and technical support to the growing number of community coalitions

throughout the nation.

Program Administration (\$4.2 million)

An amount of \$4.2 million is requested to support all other costs associated with grants management, program evaluation, and program administration. Public Law 107-82 defined as administrative costs all those expenses that are not grants to communities or to the National Anti-Drug Coalition Institute. ONDCP plans to allocate \$250,000 for costs associated with the position of program administrator and the eleven member Advisory Commission on Drug-Free Communities, \$3,890,000 to OJJDP for grants management, program monitoring and evaluation, and \$60,000 to CSAP for grants management costs associated with the National Anti-Drug Coalition Institute. To avoid duplication of efforts and to ensure greater collaboration at the national level, the Coalition Institute is expected to work in close cooperation with CSAP's five regional Centers for the Application of Prevention Technology.

Drug Free Communities Program	FY 2002	FY 2003	FY 2004 Request
(\$in thousands)	\$50,600	\$60,000	\$70,000

Administrative costs in prior years (before FY 2003) included grant program management, grant administration, program evaluation, and technical assistance and training. With the great increase in the number of grants to administer in FY 2003 and the projected administrative budget capped at six percent, the projected budget limits monies for evaluation and technical assistance. In FY 2004, the administrative budget is capped at six percent of \$70 million, or \$4.2 million.

Drug Free Communities Support Program

Salaries & Expenses Estimated Support Cost Table for Drug Free Communities Program	
Personnel Compensation (1 FTE)	\$93,500
Total	\$93,500

Non-payroll costs for the Drug Free Communities Program are paid by the DFC program, as well as the Drug Free Communities Grants Administrator position. An additional FTE is supported by the Salaries & Expenses Appropriations.

e. FY 2002 ANNUAL PROGRAM PERFORMANCE REPORT

Performance Goals and Indicators. The DFC application process requires coalitions to develop goals and objectives in a strategic plan that reflect the needs of the community. Coalitions vary considerably in several factors that impact their strategic plan. These include the nature and extent of drug use in their community, funding for prevention strategies and services, the types of immediate needs or gaps in prevention services, evaluation plan and evaluation budget, the availability of reliable data on risk and protective factors and prevalence related to drug use, and the degree of public awareness about drug problems. Coalitions are encouraged to use science-based prevention practices. Coalitions have specific characteristics in their development that are common to all, which are described as specific indicators. As a DFC Coalition, coalitions are required to report twice a year on certain indicators in their categorical assistance program reports that are used as the performance goals as indicated in the following text.

The four objectives under “enhanced/strengthened coalitions” in the logic model (Figure 2) reflected ONDCP’s focus for FY 2002. The DFC goals, targets, and measures clarified the process required for infrastructure building and strengthening a coalition by increasing citizen participation and increased interagency and intergovernmental collaboration, and improving coalition capabilities, leading to increased community participation in drug abuse prevention efforts. The accomplishment of these objectives reflects the cooperative effort of ONDCP, OJJDP, and the coalitions. Results were based on data from a sampling of coalitions in FY 2001 that set the baseline numbers for the results that will be used in the following years’ performance measures.

Additionally, the FY 2001 DFC review drove administrative changes in FY 2002 aimed at maintaining quality support and guidance with the challenge of increasing numbers of coalitions. The ONDCP staff actively provided administrative and policy oversight to coalitions in conjunction with the day-to-day grant management and financial monitoring support of OJJDP. ONDCP and OJJDP worked closely to restructure the national evaluation to adequately measure progress in mature coalitions.

The goals for FY 2002 (See Figure 3), which reflected coalition contributions to supporting the *Strategy* are summarized below.²⁵

Goal One, *Increase citizen participation in prevention efforts*, is based on the logic model identifying this target as the first step toward achieving the outcome of enhanced prevention efforts. The associated target was to increase by five points annually over the baseline the number of coalitions that reported an increase from the previous year in citizen involvement in the coalition’s efforts. Using a FY 2000 baseline, the data showed 50 percent of the coalitions

²⁵ Note that the FY 2002 Performance Report uses the term “goals” for the entries that have been relabeled as “objectives” in the FY 2004 Performance Plan. With the clarification that DFC has two coalition effectiveness goals, “Enhance and strengthen infrastructure,” and “Enhance prevention efforts,” plus one ONDCP program management goal, “Improve Program Management,” these entries are now more appropriately labeled. When the FY 2003 Performance Report is presented, this same explanation will be provided to avoid confusion. In Figure 3, Goal 1 is called 1a, Goal 2, is called 1b, etc. to reflect the current terminology.

reported increases in active citizen involvement, exceeding the target by 15 percent. (This goal will be re-evaluated in the future as a measure of coalition effectiveness for the 214 grantees in the evaluation study. These coalitions will be in their sixth year of funding and will have reached a maximum level of citizen participation.)

Goal Two, *Increase coalition capabilities*, is based on the logic model framework, which identifies improving the coalition members' capacity through training of members as a key accomplishment factor leading to enhanced prevention efforts. Baseline data from FY 2000 indicates that 38 percent of the coalitions reported providing their members training. The target for FY 2001 was that a 15 point increase of coalitions (53 percent) would provide training for their members, a target that was achieved. For FY 2002, 68 percent of the coalitions reported providing training, achieving another 15 point increase.

Goal Three, *Improve interagency and intergovernmental collaboration in coalitions*, aims at strengthening collaboration among federal, state, regional, local, and tribal governments and other sectors and organizations. Coalitions reported data on how they promoted or engaged in collaborating activities. The assumption is that collaborative planning is necessary to improve implementation. Examples include cross-agency planning and development efforts, coordinated multi-agency activities, and creation of partnerships and task forces. The FY 2002 DFC target was to increase the total number of coalitions that report an increase in using community-based processes to 54 percent. The baseline data of FY 2000 show 24 percent of the coalitions reported using community processes; FY 2001 data show 42 percent reported using community processes and FY 2002 data show 65 percent reported using at least one community-based process, exceeding the annual target in two consecutive years. Data from the intensive sites study indicate that nearly all (90 percent) reported working with other service providers to coordinate prevention program services. The most frequently cited partnerships were with schools (43 percent), government agencies (24 percent), and public safety organizations (19 percent). For the intensive sites in FY 2002, 60 percent indicated they had evidence that collaborative actions have decreased duplication of efforts.

Goal Four, *Ensure prevention efforts are more comprehensive and research-based and consistent with identified needs*. Coalitions reported on specific activities they were using to become more research based in their program planning. These activities included collecting data on long-term outcomes and reviewing the data. Data from FY 2001 indicated 51 percent of coalitions collected data on long-term outcomes and in FY 2002, 54 percent collected data on long-term outcomes of coalitions, both years exceeding the annual target of a five percent annual increase. Data for the additional indicator, reviewing outcome data for program planning, indicated that in FY 2001, 62 percent of those that collected data reported reviewing them and, in FY 2002, 73 percent reported reviewing data -- both exceeding the target of a ten point annual increase. The coalitions are strongly showing their prevention efforts are becoming more comprehensive and research-based.

Data from the intensive site visits to the 21 coalitions indicate also how coalitions are meeting this goal. Two-thirds (63 percent) of coalitions indicated that members use data to make informed decisions regarding which prevention initiatives to support. In 2002, 53 percent of

intensive study sites reported collecting data to measure long term outcomes. Eighty percent of the intensive study coalitions reported having conducted studies to evaluate the impact of their own prevention program and services. In 2002, 72.5 percent of the sites reported reviewing data to make program planning decisions.

The national evaluation plan administered by OJJDP uses the original sample of coalitions from the first two cohorts from FY 1998 and 1999. This sample was comprised of 214 grantees, based on the total number of grants from FY 1998 (91), and FY 1999 (113). The national evaluation plan also includes intensive site visits to 21 coalitions across the country to obtain more specific data on coalition processes and outcomes.

Verification and Validation. Data to measure progress toward DFC goals and targets comes from the national evaluation report, which is funded by ONDCP and administered by a contractor secured by OJJDP. The national evaluation plan administered by OJJDP uses the original sample of coalitions from the first two cohorts from FY 1998 and 1999. This sample was comprised of 214 grantees, based on the total number of grants from FY 1998 (91), and FY 1999 (113). The national evaluation plan also includes intensive site visits to 21 coalitions across the country to obtain more specific data on coalition processes and outcomes.

Coalitions from cohort 1998 and 1999, collected and reported data on the indicators in the logic model in the Categorical Assistance Progress Report (CAPR), Part II, which coalitions submit to OJJDP semiannually. Grantees from 2000, 2001 and 2002 are only required to submit a Part I progress report. The OJJDP evaluation contractor analyzes a subset of this data and prepares annual reports. Descriptive statistics are used to plot changes over reporting periods.

A sample of 15 grantees from the first round (FY 1998) and six from second round (FY 1999) were chosen for intensive site visits. Specific data were collected on community problems, community needs, prevention efforts, collaboration, coalition structure, membership, and operation. The data instruments used in the site visits included questions on local political, social, and economic conditions that affected the implementation of prevention strategies and efforts to improve prevention programming. These conditions were described in three categories: predisposing factors, enabling conditions, and obstacles to implementation.

Data analyzed provides measures on how well coalitions implemented activities and interventions, evidence of success in carrying out goals and objectives, and the extent of community support. Specifically, predisposing factors included availability of needed resources, facilities, technical expertise, staff, political support; enabling conditions include visibility of program importance to key stakeholders, early evidence of success, continued involvement of influential leaders support; obstacles to implementation include competing responsibilities, limited resources devoted to prevention programs, and lack of monitoring. In 1998, OJJDP and its evaluation contractor developed site visit protocols, which received Office of Management and Budget clearance, and are available for review. A report summarizing the data collected in 2002 and analyzed from the site visits was completed in December 2002. Relevant information from this report was incorporated in data tables in the 2002 Performance Report.

The evaluation focus expanded in FY 2002 from measuring coalition effectiveness through elements of infrastructure and implementation to measuring intermediate and long term outcomes. Intermediate outcomes include data on risk and protective factors. Questions on perception of risk and perception of disapproval as well as 30-day use and age of onset were included as part of a secondary analysis for the national evaluation plan in the summer of 2002. The data gathered will provide baseline data that can be compared to data gathered during another interval in early 2003. The DFC Program will be able to determine how and to what extent coalitions are targeting risk and protective factors toward the goals to reduce drug use among the youth. The refocusing of the evaluation will provide more data to show results toward achieving the goals of the national *strategy*.

DFC staff are working with OJJDP to enhance the national evaluation and plans to improve the data collection process. ONDCP and OJJDP have agreed on the need to place stronger emphasis on data reporting from current grantees and those seeking to reapply. In 2003, grantees that do not submit the required data will not receive continuation funding. OJJDP plans to have all grant reporting submitted online in 2003 and will have the capacity to process and analyze grantee data submitted in 2003. The grant application for 2003 has also been revised to require the submission of baseline data on the core measures and coalition accomplishments in a report to the community.

SUMMARY

The development and support of community coalitions and other local prevention strategies and activities continues to be an important component of ONDCP's long-term demand reduction strategy. At the national level, future initiatives will involve creating new training, detailed descriptions of successful local innovations that can be replicated through community coalitions, and better dissemination and utilization of how community coalitions can use science-based prevention strategies.

Results to date indicate strong community prevention infrastructures have been built, which are now capable of having greater impact at the local level. The DFC Program will continue to encourage expansion of this highly successful partnership between the national drug control community and the talented support and resources from the broad sector of local community leadership.

The FY 2004 Performance Plan and Budget Request are built on the premise that the national evaluation and the intensive site visits will provide data to evaluate accountability for the funding provided by the government. With each successive Performance Report, the goals established in FY 2001 and expanded in FY 2004 will be reexamined and revised or updated to accurately assess coalition progress.

3. ADDITIONAL PROGRAMS

a. Counterdrug Intelligence Executive Secretariat

ONDCP requests \$4.5 million for FY 2004 from the Other Federal Drug Control Programs Appropriations for administration and operation of the Counterdrug Intelligence Executive Secretariat (CDX). The CDX staff, established to coordinate the implementation of the General Counterdrug Intelligence Plan (GCIP) dated February, 2000, and amended in May, 2002. The amount included \$2.4 million for CDX operations and \$2.1 million for reimbursement for approximately 15 detailees from participating agencies.

In February 2000, the President signed the GCIP which laid out a Strategic approach to improving coordination and cooperation among the numerous counterdrug intelligence organizations and activities. Responsibility for carrying out the Plan and addressing the 73 "Action Items" rests with the interagency Counterdrug Intelligence Coordination Group (CDICG) and its full time staff support element, the Counterdrug Intelligence Executive Secretariat (CDX). During the past two years, approximately 40 percent of the action items have been completed and numerous ad hoc issues identified and resolved.

In May 2002, the interagency, led by ONDCP, completed a policy/program review of the GCIP to determine if the process is achieving its objectives, continues to be the optimum implementation structure, and continues to enjoy the full support of the participating departments and agencies. The review resulted in, inter alia, the reaffirmation of the commitments of the participating departments and agencies, guidance to reevaluate and prioritize the remaining action items, and the reduction of the CDX from 35 to 15 full-time staff. CDX staff has developed a prioritized list of 30 remaining action items, the first eleven of which will be the focus of CDICG/CDX efforts.

CDX Staff Operations

Of the requested amount (\$2.4 million) is to continue CDX staff operations. This includes office space, computer networks, travel, and other operational expenses associated with coordinating implementation of the GCIP action items. Available resources may be used to fund limited concept or feasibility studies which directly support one or more action items.

Reimbursement for Detailees

CDX presently has reached a staff level of 15 (5 management and administrative staff, plus 10 full-time professional detailees), including the CDX Director and Deputy Director. Accordingly, the FY 2004 request includes \$2.1 million to reimburse agencies for staff detailed to CDX, as stipulated by the GCIP. In order to achieve the GCIP's goals, it is imperative that a full complement of staff is provided to support this effort.

Counterdrug Intelligence Executive Secretariat	FY 2002	FY 2003	FY 2004 Request
(\$in thousands)	\$2,941	\$6,000	\$4,500

b. Performance Measures Development

In FY 2004, ONDCP is requesting \$2,000,000 to continue to develop and conduct performance evaluations of drug control programs, including the development of data sources needed for these assessments. This represents no change to the FY 2003 budget request.

The Administration is committed to holding drug control Departments and Agencies accountable for achieving clearly defined goals and objectives. This requires that we have a wide array of scientifically rigorous and objective measures. However, many measures are currently lacking or inadequate for informing policy decisions.

The requested funds will be used to encourage and work with selected Departments and Agencies to develop and/or improve the needed data sources. In recent years ONDCP has worked with the National Institute of Justice to redesign and expand the Drug Use Forecasting program into the Arrestee Drug Abuse Monitoring program, with DEA to improve the methodology of the Heroin Signature Program and the Domestic Monitoring Program, and with the Center for Substance Abuse Treatment to develop and implement the National Treatment Outcome Monitoring System.

Additionally, the requested funds will be used to conduct evaluations of programs to determine why they are not achieving their objectives. These evaluations will be performance-focused and will assist in making budget decisions.

Performance Measures Development	FY 2002	FY 2003	FY 2004 Request
(\$in thousands)	\$0	\$2,000	\$2,000

c. National Drug Court Institute

In FY 2004, ONDCP is requesting \$1,000,000 for National Drug Court Institute. The Institute's research program requires these funds: to continue the expansion of its drug court training program for practitioners; to convene special advisory groups to develop curricula in new disciplines; to develop a national community probation initiative; and to expand and update the Institute's video instruction library.

National Drug Court Institute	FY 2002	FY 2003	FY 2004 Request
(\$in thousands)	\$1,000	\$1,000	\$1,000

d. United States Anti-Doping Agency

In FY 2004, ONDCP is requesting \$1,500,000 for the United States Anti-Doping Agency for their anti-doping efforts. This is a continuation of the effort to educate athletes on the dangers of drug use and eliminate its use in Olympic sports. These funds would be used to assist the United States Anti-Doping Agency in administering a transparent and effective anti-doping program for the Olympic, Pan Am, and Paralympic games. Specifically, these funds would support research and administrative initiatives, educational programs, and efforts to inform athletes of the rules governing the use of performance enhancing substances, ethical issues related to doping, and its harmful health effects.

United States Anti-Doping Agency	FY 2002	FY 2003	FY 2004 Request
(\$in thousands)	\$4,800	\$1,000	\$1,500

e. World Anti-Doping Agency Dues

In FY 2004, ONDCP is requesting \$1,000,000 for the World Anti-Doping Agency (WADA) dues. On August 9, 2000, Executive Order 13165 was signed, formalizing the role of ONDCP in addressing the use of drugs in sports, which has risen to a level that endangers not just the legitimacy of athletic competition but the health of young athletes. Specifically, this Executive Order established a White House Task Force on Drug Use in Sports and designated ONDCP as U.S. representative to the World Anti-Doping Agency (WADA). To that end, an ONDCP official has served on the board of the WADA and as the Chair of the Ethics and Education Committee. The WADA has developed its organizational structure and is now assessing dues for each governmental member. The \$0.2 million increase from FY 2003 is to bring the United States in line with contributions received by WADA from other countries with large Olympic participation (e.g., Japan - \$1.5 million contribution in FY 2003). The United States will be assessed approximately \$1,000,000 annually.

World Anti-Doping Agency Dues	FY 2002	FY 2003	FY 2004 Request
(\$in thousands)	\$0	\$800	\$1,000

VI. HIGH INTENSITY DRUG TRAFFICKING AREA (HIDTA) PROGRAM

FY 2004 PERFORMANCE PLAN, FY 2004 BUDGET REQUEST, AND FY 2002 ANNUAL PROGRAM PERFORMANCE REPORT

A. PROGRAM OVERVIEW

In accordance with the Anti-Drug Abuse Act of 1988 (Public Law 100-690, November 18, 1988, and amended by Public Law 105-277, Oct 21, 1998), the Director of ONDCP, upon consultation with the Attorney General, Secretary of the Treasury, heads of 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 (HIDTA). Initial designations occurred in January 1990, in conjunction with the publication of the first National Drug Control Strategy.

The ONDCP Director designated critical drug trafficking areas as HDTAs in order to focus federal drug control resources and orchestrate efforts in strategic areas of the United States. Such designation qualifies federal, state and local law enforcement organizations within the region to receive federal assistance to combat drug trafficking activities. The financial assistance received by each designated HIDTA funds interagency initiatives, including multi-jurisdictional law enforcement task forces and intelligence centers to enhance and coordinate law enforcement drug control efforts in those high-risk regions. In designating these areas, the Director considered certain criteria as required by law:

- The extent to which the area is a center of illegal drug production, manufacturing, importation, and distribution;
- The extent to which 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;
- The extent to which drug related activities in the area are having a harmful impact in other areas of the country; and
- The extent to which a significant increase in the allocation of federal resources is necessary to respond adequately to drug-related activities in the area.

At present, 352 United States counties (about 11.5 percent of the total) in 41 states, Puerto Rico, the United States Virgin Islands, and the District of Columbia are designated as part of 28 HDTAs²⁶. Since January, 1990, counties in the following 28 areas have been designated as HDTAs: Houston, Los Angeles, Miami, New York, and the Southwest Border, which

²⁶ The structure of a HIDTA typically includes: an executive board which is composed of equal numbers of local/state and federal officials; major collocated law enforcement task forces led by a local, state, or federal agency; and regional intelligence support center and network that exchanges relevant information with the appropriate law enforcement agencies

includes partnerships in South Texas, West Texas, New Mexico, Arizona and Southern California (in 1990); Baltimore/Washington, DC and Puerto Rico/U.S. Virgin Islands (in 1994); Atlanta, Chicago, Philadelphia/Camden (in 1995); Gulf Coast (Alabama, Louisiana, and Mississippi), Lake County (Indiana), the Midwest (Iowa, Kansas, Missouri, Nebraska, North Dakota, and South Dakota), Northwest (Washington), Rocky Mountain (Colorado, Utah, and Wyoming) (in 1996); Northern California (San Francisco Bay Area) and Southeastern Michigan (in 1997); Appalachia (Kentucky, Tennessee, and West Virginia), Central Florida, Milwaukee, and North Texas (in 1998); and Central Valley California, Hawaii, New England (Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont), Ohio, and Oregon (in 1999), Northern Florida and Nevada (in 2001). Since 1999, more than 50 percent of the HIDTA designation requests received by ONDCP have been declined. Those proposals that were declined did not meet the statutory requirements necessary for designation consideration.

To determine eligibility for designation as HDTAs and to assist in strategic planning, in 2002 the HIDTA Program Office requested the National Drug Intelligence Center (NDIC) create a mapped database describing the domestic threat by county. Upon completion of the mapping exercise, this tool will be used to accurately evaluate emerging trends in non-HIDTA areas, and overlay those existing threats on HIDTA-designated areas. This will assist in managing where resources should be driven and help manage the growth of the Program, while offering more comprehensive strategic threat management nationwide. The criteria for designating a county as a HIDTA include not only the presence of drug trafficking in that county, but also the possibility of impacting other geographic areas across the United States. New counties which should be designated HDTAs will be identified, and counties which no longer meet the statutory criteria will lose their designation.

The HIDTA Program reduces drug availability by enhancing and helping to coordinate drug trafficking control efforts through resource and information sharing and implementation of cooperative initiatives. HIDTA funds help federal, state and local law enforcement organizations invest in technology infrastructure and generate joint initiatives that synchronize counterdrug efforts. The program seeks to:

- Assess local and regional drug threats
- Develop strategies, initiatives and budgets to focus efforts that combat drug trafficking
- Fund multi-jurisdictional law enforcement task forces to implement strategies and reduce/eliminate the threat
- Fund multi-jurisdictional intelligence centers to support investigative and prosecution efforts
- Facilitate coordination between federal, state and local law enforcement agencies
- Improve the effectiveness and efficiency of drug control efforts to reduce or eliminate the impact of drug trafficking
- Emphasize new and continued training to keep officers up-to-date on current trends, new techniques and equipment

- Facilitate communications and information systems interoperability between and among law enforcement agencies

Ultimately, the overall success of the national HIDTA Program is based upon the achievements of each regional HIDTA, as well as the separate contributions of each participating federal, state, and local law enforcement agency (LEA). HIDTA Program funding and coordination efforts are designed to achieve an impact within each HIDTA, as well as a strategic impact on overall drug trafficking in the United States.

B. MISSION STATEMENT

The mission of the HIDTA Program is to reduce drug availability by creating intelligence-driven drug task forces aimed at eliminating or reducing domestic drug trafficking and its harmful consequences through enhancing and helping to coordinate drug trafficking control efforts among federal, state and local law enforcement agencies. In 2002, the HIDTA Program mission statement read "to help enhance and coordinate America's drug-control efforts among federal, state and local 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." The new statement was rewritten, in part, to focus the Program on the desired impact of reducing drug availability in the United States and to clarify by which means to accomplish this end result.

C. FY 2004 PERFORMANCE PLAN

Performance Planning. In early 2002, the President released his National Drug Control Strategy (*Strategy*), which targets a ten percent and 25 percent reduction in drug use within two and five years, respectively. The *Strategy* includes three priorities: (1) preventing drug use before initiation, (2) healing the drug user, and (3) disrupting the drug market. The HIDTA Program²⁷ directly supports the third priority within the President's National Drug Control Strategy by disrupting the market for illegal drugs and thereby contributing to a reduction in drug use.

FY 2001 was the first year when the HIDTA Program began critically examining the goals and objectives in the light of the accountability requirement of the Government and Performance Results Act (GPRA) of 1993. This process has come to maturity this year with the establishment of modified goals for FY 2004. These goals constitute a modification of the original HIDTA six-year Strategic Plan, of which 2004 is the third year. These goals reflect the beginning of a transition to performance-based management.

²⁷ The overall national program in accordance with Public Law (PL) 100-690 and 105-277.

The FY 2004 goals are:

Program Effectiveness

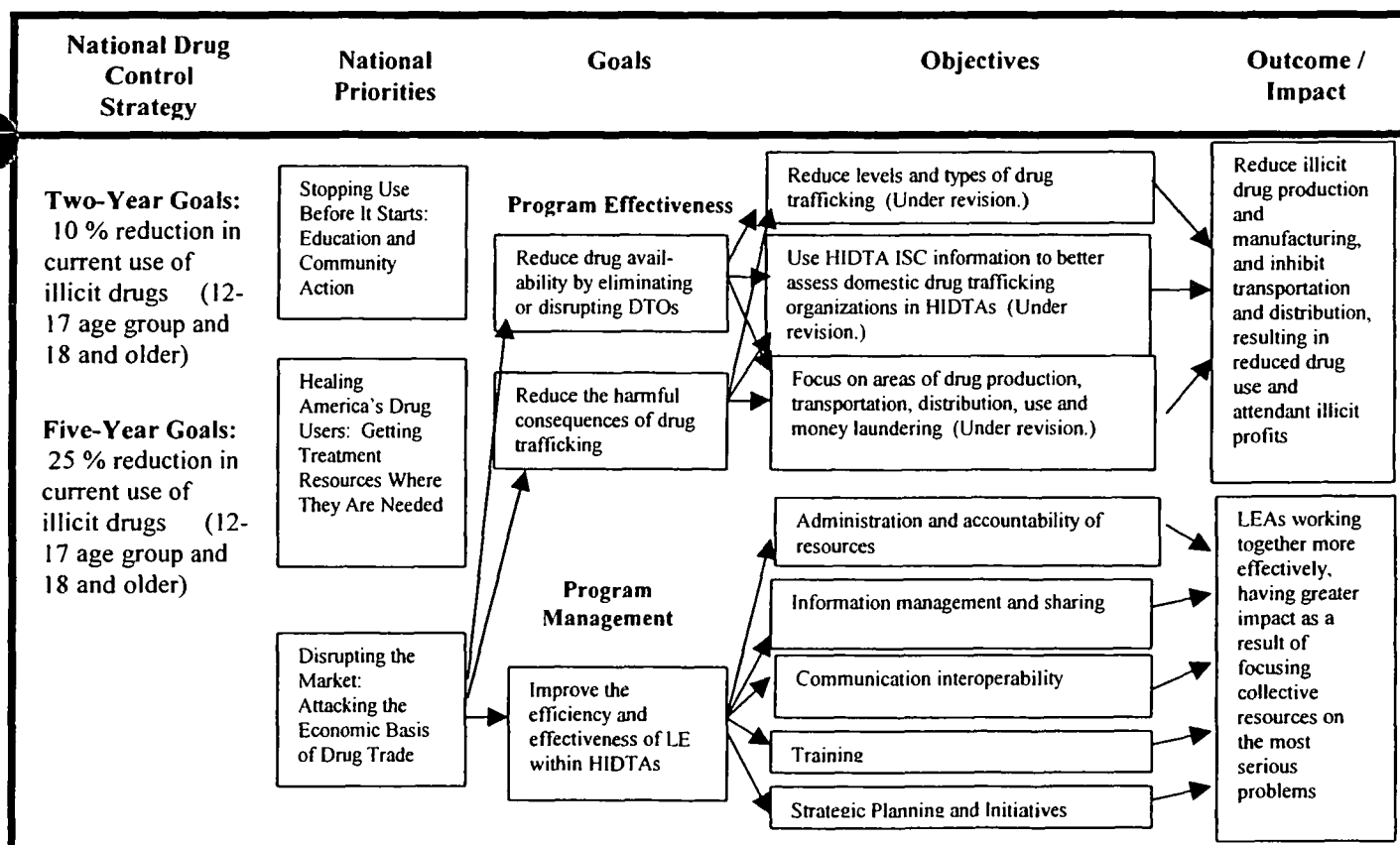
- Reduce drug availability by eliminating or disrupting drug trafficking organizations (DTOs)
- Reduce the harmful consequences of drug trafficking.

Program Management

- Improve the efficiency and effectiveness of law enforcement organizations and their efforts within HIDTAs.

The HIDTA Program goals contribute directly to the National Drug Control Strategy goals and national priorities, as shown in Figure 1.

Figure 1
HIDTA Program Goals related to National Goals and Priorities



Performance Goals and Indicators. Since Goal 1 (availability) and Goal 2 (consequences) are new, the HIDTA Program does not have, at present, performance measures for each HIDTA, that track progress towards these goals. Staff are, however, in the process of implementing a performance management system, include the identification of targets and measures for each HIDTA. These performance measures will be in place by October 2003 which will allow the HIDTA Program to evaluate its performance and the performance of HDTAs nationwide.

Difficulties in assessing performance relate to:

- differences between threats faced by individual HDTAs and the nature of resulting initiatives
- lack of local data on availability and consequences.

Additionally, the complexity of the threat may differ from HIDTA to HIDTA, where one HIDTA's threat may be based simply on the cultivation or production of a drug compared to another HIDTA wherein every aspect of drug trafficking exists.

To address differences among HDTAs, the threats will be defined in a uniform, systematic way, enabling the staff to "band" HDTAs and set performance targets accordingly. In FY 2002, the Organized Crime Drug Enforcement Task Force (OCDEF—Department of Justice (DOJ)) Program announced that a list of key DTOs would be created (Consolidated Priority Organizational Targets (CPOT) list) and disseminated among key law enforcement agencies. The HIDTA Program intends to provide resources to HDTAs that identify initiatives to dismantle DTOs on the CPOT list, in addition to other more regional threats (which may include OCDEF-defined Regional Priority Organizational Targets (RPOT)). Funding priority will be given to those initiatives that have a clear nexus to a CPOT and are inter-HIDTA, inter-agency, and inter-region in scope. This focus on high-value targets will concentrate participating agencies' efforts on investigations having the most impact on the drug trafficking market. This should ensure that resulting initiatives contribute significantly to the market disruption focus of the HIDTA Program Strategy and the National Drug Control Strategy.

The lack of data presents an even greater problem in monitoring the progress of HDTAs. In 2002, strong concern from ONDCP and DOJ about improving the accountability of the HIDTA and OCDEF Programs led to a contract to design a Performance Monitoring System. The technical report, "Design for a HIDTA/OCDEF Performance Monitoring and Management System," sponsored by both ONDCP and the Department of Justice, addresses the proposed system and includes a menu of measures with a variety of data sources. Unfortunately, most of them are not consistently available for each HIDTA or are not geographically synchronous with the HDTAs. Performance data across HDTAs may be difficult to aggregate using a common set of "core measures," but at the very least, it will be possible to determine the percentage of HDTAs that have met their own specific targets. In other words, performance measures and targets will be individually tailored to address each HIDTA's threat and its performance against that threat, utilizing available, valid data sources to gauge performance.

ONDCP is currently in the process of implementing a Performance Management System whereby each HIDTA can identify its threat, select appropriate performance measures and targets, and report annually on its performance. This will lead to identification of objectives and performance measures customized to reflect each HIDTA's threats and results. These steps will address the concerns raised by OMB in their performance review of the HIDTA Program in 2002.

In implementing a Performance Management System, the HIDTA Program will refocus its strategic effort on high-value targets (i.e., CPOT list), which will be incorporated into the performance measures and targets selected. By the beginning of FY 2004 we anticipate there will be additional measures to be published in subsequent plans and reports.

Program Effectiveness

The two program effectiveness goals are:

Goal One: Reduce drug availability by eliminating or disrupting drug trafficking organizations

Goal Two: Reduce the harmful consequences of drug trafficking.

Performance measures selected by individual HDTAs will focus on outcomes such as:

- Availability of drugs
- Percentage of DTOs dismantled or disrupted
- Drug-related violent crime
- Drug-related emergency room admissions
- Drug-related deaths

Other measures will also be selected as needed from the menu, subject to the availability of data. For each HIDTA, the actual choice of performance measures will depend on the nature of the threat and resulting initiatives, and the availability of the data. It is presently not clear what data are available for which HDTAs. The HIDTA Program is presently exploring proxy measures with OCDETF, such as market share of the DTOs, until reliable HIDTA-specific estimates of drug availability are available. The measures selected for each HIDTA will not be perfect given the lack of data, but they will be meaningful measures in that they constitute plausible steps towards the desired end results.

Program Management

Goal Three: Improve the efficiency and effectiveness of law enforcement and their efforts within HDTAs.

Goal 3 with its five areas identified for improvement (administration and accountability of resources; information management and sharing; communications interoperability; training; and strategic planning and initiatives) is a goal carried over from previous years, which has

hitherto relied solely on output measures and milestones to gauge results. While some of these are important to chart progress, as listed in Figure 2, HIDTA Program staff plans to augment them with intermediate outcomes that reflect changes in the effectiveness and efficiency of law enforcement agencies (LEAs) that contribute to the desired end results. These include:

- Percentage of HIDTAs where the initiatives undertaken reduce the threat
- Price of drugs
- Purity of drugs
- Closure rates

The above measures reflect intermediate steps towards the achievement of Goals One and Two. When law enforcement efforts improve, so will the impact on drug availability and its consequences.

The following figure (Figure 2) presents the goals, objectives and targets for the FY 2004 Performance Plan. FY 2003 is presented to show which measures are carried over from the previous year. There have been some adjustments to Goal Three program office management targets in FY 2003 based on FY 2002 results and pending changes in performance management. The target for on-site reviews of existing HIDTAs has been lowered from 50 percent in FY 2003 to 25 percent in FY 2004 based on a more realistic forecast of on-site reviews given staffing levels combined with an increased comprehensive approach to each on-site review. Although the target for electronic connectivity between all Intelligence Support Centers (ISCs) and all HIDTA task forces has been lowered from 75 percent to 50 percent in FY 2003, actual achievement in FY 2002 was 89 percent. Completion of training for information technology personnel in the HIDTA regional offices has been lowered to 25 percent from 50 percent in FY 2003 and will be targeted at 50 percent training completion in FY 2004. Due to resource limitations, the 25 percent target is a more realistic figure for FY 2003.

Historical information on the HIDTA Performance Plan is presented with the FY 2002 Performance Report.

Figure 2 FY 2003 and FY 2004 Performance Goals and Indicators

Note: FY 1999–2002 performance measures and results are included in the FY 2002 Performance Report.

Goals	Objective	FY 03 Target	FY 04 Target
Program Effectiveness Goals			
Goal 1. Reduce drug availability by eliminating or disrupting drug trafficking organizations (DTOs)	Note: Revised objectives will be available April 2003. Reduce levels and types of drug trafficking Use HIDTA Intelligence Support Center (ISC) information to better assess domestic drug trafficking organizations in HIDTA Focus on areas of drug production, transportation, distribution, use and money laundering	A research project was initiated by HIDTA and OCDETF to help identify performance indicators and data sources for this objective. The project is slated for completion in FY 2003. (Results of project evaluated and measures assigned by mid-FY 2003. Existing sources of data to address measures identified by third quarter FY 2003, and data collection/collation by fourth quarter FY 2003)	Implement performance measures as determined from HIDTA/OCDETF Performance Monitoring Project.
Goal 2. Reduce the harmful consequences of drug trafficking			On October 1, 2003 performance measures will be available for each objective.
Program Management Goal			
Goal 3. Improve the effectiveness and efficiency of law enforcement and their efforts within HIDTAs			Additional measures will be available on October 1, 2003.
Administration and Accountability of Resources	HIDTA to employ the HIDTA funding priorities according to the HIDTA funding priorities and milestone guide.	Continued 100% employment	100% employment. Program management update funding guide
	Develop and employ a financial database.	100% of program developed.	Employment of actual program at all HIDTAs
	Build and employ a HIDTA Program Performance evaluation component.	25% employment.	Employment of actual program at all HIDTAs
	Identify a process to identify and share best practices.	100% of process identified to share best practices.	100% dissemination of best practices; continue to monitor and evaluate implementation of best practices at all HIDTAs.
	Complete HIDTA on-site reviews.	Conduct at 50% of existing HIDTAs.	Conduct at 25% of existing HIDTAs.
	Establish an intelligence program at each HIDTA ISC that will encourage and facilitate intelligence-led policing.	Identify and deploy (in 33% of HIDTA ISCs) analyst training.	100% of the HIDTA ISCs will continue to develop regional threat assessments annually. 100% of the HIDTA ISCs will provide analytical support for illegal drug investigations by FY 2004.

Goals cont.	Objective	FY 03 Target	FY 04 Target
	Coordinate national counterdrug programs run through ONDCP or subject to ONDCP authorities through threat-based strategies and facilitate cooperation between agencies.	Coordinate efforts within ONDCP to identify where ONDCP Programs are collocated.	Complete the integration of federal, state/ local drug control programs within HIDTA (25%). 100% target for end of FY 2007.
	Conduct fiscal audits of HIDTA programs.	15 limited scope external audits.	Target: At least 20 limited-scope audits.
	Prioritize and focus resources in critical regions of the country.	NA	Work with National Drug Intelligence Center to create national drug trafficking threat assessments to assist in making future budgetary and operational decisions.
<i>Information Management and Sharing</i>	1. Achieve electronic connectivity between all HIDTA ISCs	Achieve 100% connectivity, and refine connectivity; correct problems; troubleshoot as needed.	Maintain 100% connectivity, including any new HDTAs; 100% completion towards correcting compatibility problems; 100% integration of sharing plan between HDTAs.
	2. Achieve electronic connectivity between all ISCs and all HIDTA task forces.	Achieve 50% connectivity.	Achieve 100% connectivity.
	3. Development of a national information sharing protocol.	Implement and share protocol/75% completion.	Implement and share protocol/100% completion.
<i>Communications Interoperability</i>	1. Software and hardware acquisition and installation between and among HDTAs.	100% implementation of strategy.	Maintain 100% implementation of strategy; identify and address problems, including upgrading as necessary.
	2. Software and hardware acquisition and installation between and among HIDTA task forces.	100% implementation of strategy.	Maintain 100% implementation of strategy; identify and address problems, including upgrading as necessary.
<i>Training</i>	1. Establish a HIDTA training oversight committee.	Refine mission and functions of committee.	Establish training initiatives within each HIDTA; 75% completion.
	2. Establish the HIDTA Assistance Center as the repository for all training records and as a clearinghouse for the HIDTA Program.	Implement policy and process/75% completion.	100% completion.
	3. Develop HIDTA Program training curriculum.	Implement curricula/100% completion.	Identify any needed changes to curricula per suggestions from regional HDTAs.
	4. Complete training for information technology personnel in HIDTA regional offices.	Train personnel/25% completion.	Train personnel/50% completion.
<i>Strategic Planning and Initiatives</i>	Biannual HIDTA Executive Director's Summit	Conduct two summits/50% completion	Conduct two summits

Means and Strategies.

HIDTA Structure

Typically, the structure of a HIDTA includes:

- An executive board composed of equal numbers of local, state and federal officials. Board members alternate the chair and vice-chair positions between federal and state or local affiliates. The boards horizontally integrate federal, state and local drug control programs to enable LE organizations to maximize the use of available resources, reduce unnecessary duplication, synchronize diverse activities, and provide the focus for these organizations.
- Major colocated law enforcement task forces led by a local, state, or federal agency.
- A regional intelligence support center and network that exchanges relevant information with the appropriate law enforcement agencies.
- National connectivity via the Regional Intelligence Sharing System (RISS.net).

Overall HIDTA Program Oversight: Schedule of Events

The oversight of HIDTA activities requires consistent oversight and interaction of the ONDCP HIDTA Program staff with HIDTA Executive Directors and Executive Boards to ensure that key events occur. The following is a schedule of those key events:

- Dissemination of policy guidance from ONDCP to the HDTAs. Electronic dissemination occurs every March from the HIDTA Program Office to the HDTAs.
- Development of regional drug threat assessments unique to each HIDTA that form the basis of focused and coordinated strategies and initiatives. Threat assessments are transmitted to the HIDTA Program Office every May.
- Development and updating by individual HDTAs of planning and budgeting documents. These enhance law enforcement strengths and target the vulnerabilities of major DTOs. Review by HIDTA Program Office, of budget requests and the progress of individual HDTAs. After the Performance Management System is in place this year, such reviews will include negotiation of targets and focused assessment of previous performance. This occurs every June.

HIDTA Program Oversight: Goals One and Two

Until the HIDTA Performance Management System is implemented in late 2003 to measure accomplishments for Goals One and Two, the HIDTA Program will continue to work towards specific objectives in the *Strategy* and ONDCP's Office of State and Local Affairs' *Domestic Strategic Review*, especially the following ongoing activities:

Domestic Strategic Review:

- HIDTA will partner with all federal drug control agencies regarding the priority drug trafficking targeting list, and work to apprehend identified drug offenders.
- HIDTA will increase focus on financial transactions where intelligence provides an avenue for investigation, and require a financial component for all HIDTA initiatives.

HIDTA Program Oversight: Goal Three

The national HIDTA staff are already actively engaged with the regional HIDTA Directors in implementing the Goal Three priorities of administration and accountability of resources, information management and sharing, communications interoperability, training, and strategic planning and initiatives. Specific means to achieve HIDTA Program management objectives include the following ongoing activities:

- National HIDTA staff will closely monitor development of both the financial database and HIDTA Program performance evaluation component.
- Best practices information will be collected by national HIDTA staff on a periodic basis and conveyed to each HIDTA. "Best practices" are those in which the performance (i.e. management, administrative, strategic) of a HIDTA are thought to be exemplary and used as a model for other HDTAs.
- On-site reviews will be scheduled at the maximum pace that will not adversely impact quality – approximately one every six weeks.
- National HIDTA staff will identify regional HDTAs that are not fully connected via databases, and compile up-to-date lists of task forces needing to be connected.
- National HIDTA staff will work closely with regional HIDTA staff to identify training needs and compile and refine training standards and documents.
- ONDCP will provide additional oversight of the HIDTA Program through internal and external reviews of individual HIDTA efforts, while commercial auditors conduct financial audits within each HIDTA.

HIDTA initiatives involve the coordinated teamwork of participating federal, state, and local officials who develop a joint threat assessment, a strategy that addresses the threat, initiatives that implement the strategy, and annual reports that reflect the impact on the threat.

D. APPROPRIATION LANGUAGE

Funds Appropriated To The President High Intensity Drug Trafficking Areas

Federal Funds

General and special funds:

HIDTAs Program (Including Transfer of Funds)

For necessary expenses of the Office of National Drug Control Policy's High Intensity Drug Trafficking Areas Program, \$206,350,000 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 enactment of this Act: *Provided*, That up to 49 percent, to remain available until September 30, 2005, may be transferred to Federal agencies and departments at a rate to be determined by the Director, of which not less than \$2,100,000 shall be used for auditing services and associated activities, and at least \$500,000 of the \$2,100,000 shall be used to develop and implement a data collection system to measure the performance of the High Intensity Drug Trafficking Areas Program. (Executive Office Appropriations Act, 2002)

E. SUMMARY TABLES OF PROGRAM AND FINANCING

High Intensity Drug Trafficking Areas (\$ in thousands)

		FY 2002	FY 2003	FY 2004 Request
	Program by activities:			
00.01	Grants and Federal Transfers	\$224,250	\$204,250	\$204,250
00.01	HIDTA Auditing Services and Associated Activities	\$2,041	\$2,100	\$2,100
10.00	Total Obligations	\$226,291	\$206,350	\$206,350
	Financing:			
21.40	Unobligated Balance Available, Start of Year			
24.40	Unobligated Balance Available, End of Year			
25.00	Unobligated Balance Expiring			
25.00	Unobligated Balance Rescinded/Transferred			
39.00	Budget Authority	\$226,291	\$206,350	\$206,350
	Budget Authority:			
40.00	Appropriation	\$226,291	\$206,350	\$206,350
41.00	Transferred to Other Accounts	(\$40,876)	(\$34,350)	(\$34,350)
42.00	Transferred from Other Account			
43.00	Appropriation (adjusted)	\$185,415	\$172,000	\$172,000
	Relation of Obligations to Outlay:			
71.00	Obligations Incurred, Net	\$185,415	\$172,000	\$172,000
72.40	Obligated Balance, Start of Year			
74.40	Obligated Balance, End of Year			
90.00	Operations Outlays			
90.00	Total Outlays			

F. SUMMARY TABLES OF PERSONNEL

Personnel responsible for providing policy direction and oversight for the HIDTA program are funded from ONDCP's Salaries & Expenses account.

PERSONNEL	FY 2002	FY 2003	FY 2004 Request
Total Number of Appropriated Full-Time Permanent Positions	0	0	0
Total Compensable Workyears:			
Full-Time Equivalent Employment	0	0	0
Full-Time Equivalent of Overtime and Holiday Hours	0	0	0

G. SUMMARY TABLES OF BUDGET AUTHORITY BY OBJECT CLASS

**High Intensity Drug Trafficking Areas
(\$ in thousands)**

		FY 2002	FY 2003	FY 2004 Request
25.0	High Intensity Drug Trafficking Areas – Obligations	\$185,415	\$172,000	\$172,000
99.0	Transfer to Federal Accounts	\$40,876	\$34,350	\$34,350
99.0	Total Budget Authority	\$226,291	\$206,350	\$206,350

FY 2004 BUDGET REQUEST

The HIDTA budget request for FY 2004 is \$206,350,000. Within the budget request, a total of \$2.1 million will be used for auditing services and associated activities, and at least \$0.5 million of the \$2.1 million shall be used to develop and implement a data collection system to measure the performance of the HIDTA Program in support of the Government Performance and Results Act (GPRA).

High Intensity Drug Trafficking Areas (\$ in thousands)

	FY 2002	FY 2003	FY 2004 Request
High Intensity Drug Trafficking Areas (HIDTA)	\$226,291	\$206,350	\$206,350

Funding for the HIDTA Program is requested in the "Other Independent Agencies, Federal Drug Control Programs" Chapter on the Budget. However, program operation and policy resides with the Director of ONDCP.

High Intensity Drug Trafficking Areas

Salaries & Expenses Estimated Support Cost Table for HIDTA Program	
Personnel Compensation (8 FTE)	\$870,000
Travel	\$90,000
Printing	\$10,000
Conferences	\$75,000
Total	\$1,045,000

All of the above HIDTA costs are paid from the Salaries and Expenses appropriation.

H. FY 2002 ANNUAL PROGRAM PERFORMANCE REPORT

Performance Goals and Indicators. In FY 2002, while two of the three primary goals of the HIDTA program remained the same as in the past, the HIDTA Program objectives and Goal One were revised.²⁸ The three primary goals were:

Program Management

- Improving the efficiency and effectiveness of law enforcement within HIDTAs

Program Effectiveness

- Reducing the efficiency and impact of drug trafficking organizations (DTOs)
- Increasing the safety of American neighborhoods

In FY 2002, the HIDTA Program took specific steps to improve the management of the HIDTA Program, both at the national level and at each regional level. HIDTA staff recognized the challenge of measuring the effectiveness of a program that provides resources to support collaboration among federal, state and local partners to respond to drug trafficking. As a result, HIDTA staff began working with a private contractor to identify specific performance measures for the HIDTA goals. We anticipate that the notable progress in improving management systems will result in measured and provable disruption to the drug market.

Program Management

Goal One: Improving the efficiency and effectiveness of law enforcement within HIDTAs.

The HIDTA Program was moderately successful with respect to the first goal dealing with program management. Within this goal, several efficiency and effectiveness priorities and objectives were established, and nine out of sixteen targets were completely or partially achieved. For the measures where performance fell short of the target, work is ongoing. Adjustments were made to FY 2003 efficiency and effectiveness targets based on these FY 2002 results.

HIDTA Program Management objectives achieved in FY 2002 fall under the five categories numbered below and are summarized in Figure 3. This portion of the text presents results from the five objective areas with information demonstrating the linkage to the outcomes and impacts of the program.

²⁸ FY 2001 Performance Report statement. "An extensive amount of effort was devoted in FY 2001 to laying the groundwork for implementation of the new measures in FY 2002 and FY 2003. Actual FY 2001 performance data related to these new measures is included in the FY 2003 Performance Plan table. This report summarizes the final information that will be provided for the measures as they existed in FY 2001."

(1) *Improving administration and accountability of resources.*

a. *Funding guidance.* With 100 percent implementation of the HIDTA funding priorities and milestone guide, the HIDTA Program continued to focus funding on program priorities, in particular, intelligence infrastructure and communication interoperability. The infrastructure and the interoperability directly impact LEAs' ability to share information and target the more serious problems. Program funding also focused on national priority targets, facilitating operations against the most serious offenders.

b. *Financial database.* The Request for Proposal (RFP) has been completed and published for the HIDTA financial database. HIDTA successfully selected a project manager and researched possible vendors to develop the database. Implementation of a national financial database will enhance LEAs' ability to reconcile HIDTA Program balances and better manage assets. On-line generation of fiscal reports will make the individual HDTAs more accountable and allow correlation to be made between performance and funding.

c. *Evaluation component.* The HIDTA Program created a working committee to construct a performance evaluation component at all Intelligence Support Centers for the purpose of evaluating performance with respect to intelligence sharing. Information related to the component was disseminated to all HDTAs. Among the issues assessed by this process is the degree to which LEAs participating in HDTAs are sharing information, using intelligence-led policing philosophies, and focusing on major violators.

d. *Best practices.* Best practices have been catalogued. The purpose in cataloguing best practices is to anecdotally attempt to measure performance of the HDTAs in advance of implementing a quantifiable performance management system. This is the first stage, among other activities, designed to achieve performance management implementation. Sharing best practices will assist the less mature HDTAs to enhance effectiveness and the sharing of software applications among HDTAs will enhance HDTAs' capabilities and save program dollars.

e. *On-site reviews.* We expected to complete on-site HIDTA reviews at half of the regional HDTAs in FY 2002, but on-site reviews proceeded at a slower rate than targeted because of staffing limitations and a more extensive review process. The focus of these reviews/on-site visits was to review management, financial, performance, intelligence, and initiative practices, thereby promoting best practices on a national level and directly contributing to the sharing of best practices among the HDTAs. The on-site reviews²⁹ identified strengths and weaknesses of individual HDTAs and brought about better compliance to program policy. Recommendations developed by the interagency on-site review team facilitated reduced duplication of effort and increased commitment by Executive Boards. All HDTAs reviewed to date have been found to be making progress in achieving their individual goals in addressing their identified regional threats in support of the *Strategy*. They were also found to have a high degree of compliance with program guidance in addition to efficient and effective fiscal controls.

²⁹ "On-site Reviews" are published documents named as such.(e.g., New York HIDTA On-Site Review)

(2) *Enhancing information management and sharing between HIDTAs.* Electronic connectivity is an extremely important aspect of improving HIDTA Program management, and although the FY 2002 target was 100 percent connectivity by the end of FY 2002, complete success regarding this target has been delayed into FY 2003, because all but 3 HIDTAs' have yet to be connected. The target to achieve electronic connectivity between all intelligence centers and all HIDTA task forces has been lowered from 75 percent to 50 percent in FY 2003.

a. *Electronic interconnectivity/HIDTA Intelligence Support Centers (ISCs).* Most HIDTAs (25 of 28) have been electronically interconnected. The enhancement of interconnectivity via the Regional Information Sharing System (RISS.net) is a significant achievement for the HIDTA Program. Greater inter-HIDTA activity will undoubtedly lead to further interagency cooperation and focus on the more serious offender organizations. Those HIDTAs that are interconnected have actively begun exchanging information. This process has facilitated HIDTAs' connectivity to DEA's El Paso Intelligence Center (EPIC), FBI's Law Enforcement On Line (LEO) network and the intelligence community's Open Source Information System (OSIS). The policy for interconnectivity was implemented at all regional HIDTAs.

b. *Electronic connectivity of ISCs to Task Forces (TFs).* Policy has been implemented to mandate interconnectivity between the ISCs and HIDTA taskforces. This connectivity will greatly enhance information exchange and analysis between not only the ISCs and individual HIDTA taskforces, but also extend between individual HIDTAs.

c. *Electronic connectivity of ISCs to national, state, local intelligence centers.* Electronically connecting all HIDTA ISCs to national, state, and local intelligence centers is not feasible due to the number of facilities. By simply connecting all HIDTA ISCs electronically, the HIDTA Program has provided a critical, potential venue for intelligence sharing among the entities. The original target was determined to be unrealistic. The objective is more appropriately achieved through HIDTA interconnectivity and intelligence dissemination to state and local law enforcement agencies.

d. *National information-sharing protocol.* The HIDTA Program exceeded its target of conducting interagency discussions regarding a national information-sharing protocol. An interagency working committee has been created to develop this protocol and agency dialogue has been extremely supportive. This protocol will ensure the HIDTA information infrastructure will be appropriately and effectively used to exchange law enforcement information. This systemic exchange protocol will directly contribute to LEAs' ability to impact drug trafficking.

(3) *Improving communications interoperability.*

a. *Software and hardware acquisition and installation between HIDTAs.* Operationalizing this objective enables HIDTAs to communicate and exchange information on the same platform. This will enhance event deconfliction and pointer deconfliction systems to reduce duplication and focus on value targets. The objective was operationalized.

b. *Software and hardware acquisition and installation between HIDTAs and TFs.* As described above, this strategy will complete connectivity between all critical elements of the HIDTA Program. Information will then flow from the field to the HIDTA ISC, and then among the HIDTAs, as prescribed by the information sharing protocol.

(4) *Enhance training.* HIDTA Program management targets not achieved primarily fell under the training objectives category. The HIDTA Program established a HIDTA Assistance Center to house all training records. The Assistance Center should be fully functioning as a clearinghouse by early FY 2004. The training curricula development process continues, with completion expected in FY 2003.

a. *HIDTA training oversight committee.* This committee will assist in organizing and structuring training offered through HIDTA. The continuing demand for training has required each HIDTA to establish a training initiative. Training LE analysts will positively impact how LEAs prioritize their targets and training LE officers will greatly enhance their effectiveness in the field.

b. *National HIDTA Assistance Center (NHAC).* The NHAC will act as the program clearinghouse for training records and specialized training. Tasking has been made to the NHAC to facilitate this objective and a draft policy has been completed. Inquiries by HIDTAs to the NHAC will direct them to specialized training. The record-keeping function will allow for enhanced program accountability in the training arena.

c. *Program training curricula.* The HIDTA Program has grown significantly and personnel participating in HIDTA rotate periodically. A HIDTA "In-Service" training curricula will ensure that LEA personnel participating in the program are aware of HIDTA attributes and program policy and guidance.

d. *Information technology personnel training.* Once fully developed, these curricula will enable HIDTA ISCs to maximize connectivity, enhance sharing technologies, implement analytical capabilities, and upgrade systems as required. This directly supports LEAs' capabilities to focus resources on the most critical targets. The target of training information technology personnel in the HIDTA regional offices has been lowered to 25 percent from 50 percent in FY 2003.

(5) *Conducting strategic planning conferences.* One HIDTA Director summit was successfully completed. The summit affords opportunities for direct dialogue between HIDTA-affiliated LEAs and ONDCP Director. This exchange clarifies and resolves issues and strengthens relationships between LEAs and ONDCP. The HIDTA Program will conduct two Director summits in 2003, in addition to having one annual HIDTA Conference. The annual HIDTA Conference would include participants from state and local law enforcement, in addition to representatives from the HIDTAs.

Program Effectiveness

Goal Two: Reducing the efficiency and impact of drug trafficking organizations (DTOs)

Goal Three: Increasing the safety of American neighborhoods

Goals Two and Three have admittedly been extremely difficult for HIDTA to measure. While there are no effectiveness results to report for either goal, there has been some progress in establishing a credible performance measurement system. The HIDTA/OCDETF Performance Monitoring System project includes two major tasks: (1) to identify a menu of law enforcement program measures specifically relevant to HIDTA and OCDETF, and (2) to develop a recommended method of implementing a measurement and reporting system for the two programs. This project constitutes a first step in what ONDCP and DOJ envision being a longer-term refinement and implementation of a performance monitoring and management system for law-enforcement joint task force efforts, such as HIDTAs and OCDETFs. Once completed, this project will enable HIDTA Program managers to identify the high-performing HIDTAs, and thus make more accurate and objective designation and budgeting decisions. This process may also help determine where illicit drug production/manufacturing, transportation, distribution, illicit drug use and laundering of proceeds are most impacted by the program.

As of publication of this document, the following have occurred:

- HIDTA and OCDETF agreed to a shared commitment to develop a framework to examine the logic, assumptions, programs activities, funding issues, and other contributory factors affecting the achievement of targets for these two major drug enforcement programs.
- A contractor designed a draft HIDTA/OCDETF Performance Monitoring Systems, which included a menu of LE program performance measures.
- Implementation of a performance management system for the HIDTA Program is expected during 2003, in part based upon the recommendations made by the contractor and strategic collaboration with OCDETF.

The HIDTA Program offers the following evidence of significant accomplishments. The HIDTA Program facilitates interagency partnerships and coordination that would not occur were it not for the resources and organizational framework the HIDTA Program brings to a region. The following are among the many accomplishments these have facilitated:

ONDCP conducted a National HIDTA Program Conference December 11-13, 2002, in Washington, D.C. Among the participants at this conference were ONDCP's Director, the DEA Administrator, the Department of Treasury's Under Secretary for Enforcement and the former Commissioner of the New York Police Department and approximately 400 law enforcement leaders from around the country. The conference addressed a number of topics relevant to the HIDTA Program including: marijuana, intelligence, disrupting the drug market, effective enforcement initiatives and performance measures.

- *MIDWEST HIDTA.* Event Deconfliction is a regional warning and notification system used by all HIDTAs to record and monitor concurrent law enforcement investigative activities, thereby avoiding duplicative and potentially dangerous conflicts in operations involving two or more agencies working in the same area. The Event Deconfliction System has been the most critical component of support for task forces and participating agencies. Without the HIDTA Program, this service would not be available. Over the past four years, local, state and federal agencies have increasingly used this service not only for the obvious officer safety benefits but as a means to coordinate and share limited resources during case investigations. In 2001, 57 separate agencies participated in deconfliction with the Midwest HIDTA Intelligence Support Center. Midwest HIDTA Intelligence Support Center case support accomplishments: 95 percent increase in link analysis charts, 36 percent increase in document analysis, 25 percent increase in telephone toll analysis, 123 percent increase in task force visits. Subject and target deconfliction through HIDTA Intranet Pointer (HIP) computer program increased 100 percent from 2,603 entries to 5,224 entries in 2001. Event deconfliction entries increased 13 percent to 1,996 event checks for 2001.

Funding from HIDTA and the cooperation of agencies willing to provide staffing have been integral in the success of this service. In the Midwest HIDTA region and throughout the majority of the nation, no other law enforcement entity provides this valuable service. Only through HIDTA funding will this service be able to become a fully integrated 24 hour, seven day per week operation which will be able to service virtually all local, state and federal agencies within the six-state HIDTA region. Thirty-four separate task forces and agencies have been connected to the Intelligence Support Center via secure Intranet VPN connections through RISS.net with 400 established user accounts. The Midwest HIDTA Intelligence Support Center handled 1,996 event deconfliction requests during CY 2001, an increase of 11 percent over the 1,768 deconfliction events processed during CY 2000. There were 273 possible conflicts a decrease of 24 percent from CY 2000.

- *LAKE COUNTY HIDTA.* To counter the threat of drug-related gun violence, the Lake County, Indiana, HIDTA initiated an unprecedented program targeting repeat gun offenders who exploit the system. These repeat offenders were able to avoid being tagged as felons despite multiple gun arrests in different cities within the county. Effective March 1, 2002, all gun arrests by the four largest police departments, Gary, Hammond, East Chicago, and the Lake County Sheriff's Department are submitted directly to the intelligence center for criminal checks and review by a HIDTA prosecutor to ensure the appropriate Federal or state charge is rendered. HIDTA county prosecutors are also Special Assistant United States Attorneys, which ensures the most appropriate venue for prosecution. The HIDTA Program was clearly the catalyst to bring these agencies together.
- *NEW ENGLAND HIDTA.* The New England HIDTA (NEHIDTA) Heroin Advisory Committee convened medical examiners, law enforcement leaders, prosecutors, health care providers, prevention and education professionals, emergency medical and emergency response personnel to discuss the heroin problem in New England and formulate an all

inclusive heroin strategy. The NEHIDTA is presently working on the implementation of seven priority recommendations of the Heroin Advisory Committee. Without the NEHIDTA, this committee would not be possible. The NEHIDTA provides a neutral platform for all the disciplines to meet and make recommendations for a strategy that will reduce the number of drug overdose deaths and injuries.

Figure 3 FY 2002 Performance Goals and Indicators

Note: The FY 2002 target results and actual results are provided in Figure 3. Historical tracking of HIDTA goals and objectives is provided in Figure 4.

HIDTA GOALS	FY 2002 Target	FY 2002 Actual	Comments Plans and Schedules to meet unmet goals
Program Management Goal			
Goal 1. Improve the efficiency and effectiveness of law enforcement within HIDTAs.			
<i>Administration and Accountability of Resources Objectives</i>			
HIDTA employ the HIDTA funding priorities according to the HIDTA funding priorities and milestone guide	Implement at all HIDTAs	100%	This objective will be continued into FY 2003.
Develop and employ a financial database	Select project manager and researched possible vendors to build application	0%	This objective will be continued into FY 2003, and the target will focus on the actual development and implementation of the financial database.
Build and employ a HIDTA Program Performance evaluation component	Develop evaluation plan and component and target areas	100% developed	This objective will be continued into FY 2003, with the focus on employing the performance evaluation.
Identify a process to identify and share best practices.	Develop process and extract best practices. Market concept and practices to 100% of HIDTAs.	50% completed. Process identified but not shared.	This objective will be continued into FY 2003. Best practices are continuously being re-examined and updated.
Complete HIDTA on-site reviews.	Perform reviews at 50% of regional HIDTAs.	32% (8/28)	HIDTA reviews are progressing at a slower rate than targeted. The reason for this primarily involves staffing limitations, and the fact that these reviews are performed on-site. While our targets called for reviewing 14 of 28 regional HIDTAs, actual on-site reviews numbered 8. HIDTA plans to continue reviewing regional HIDTAs on-site in FY 2003. Less comprehensive off-site reviews of effectiveness were done for all HIDTAs in FY 2002.

HIDTA GOALS cont.	FY 2002 Target	FY 2002 Actual	Comments Plans and Schedules to meet unmet goals
<i>Information Management and Sharing Objectives</i>			
Electronic interconnectivity between all HIDTA ISCs	Connect 100% of HIDTA and develop sharing plan	89% (25/28)	All but three HDTAs achieved interconnectivity by the end of FY 2002. However, the sharing plan remains under construction. We anticipate the sharing plan draft to be complete in the first month of FY 2003, and a final result to be achieved by mid-FY 2003.
Electronic connectivity between ISCs and HIDTA task forces	Implement policy at 100% of HDTAs	100% policy implementation	This objective is dynamic and will be continued into FY 2003. The target will focus upon the evaluation component.
Electronic connectivity of all HIDTA intelligence centers to national, state and local intelligence centers	Get 100% interagency buy-in and 100% policy implementation	No results available—see comment	Target determined to be unrealistic. More appropriately achieved through HIDTA interconnectivity and intelligence dissemination to state and local LEAs.
Development of a national information-sharing protocol	Conduct 75% interagency and policy dialogues	100% interagency/ policy dialogues	This objective will be continued, but with a focus on implementation, updating, and evaluating the information-sharing protocol.
<i>Communication Interoperability Objectives</i>			
Software and hardware acquisition and installation between and among HDTAs	Develop implementation strategy	100% development	This objective will be continued, and focus upon the actual installation component of the objective.
Completion of software and hardware acquisition and installation between HDTAs and their task forces	Develop implementation strategy	Ongoing	Implementation strategy on this point remains incomplete. While software and hardware acquisition is complete and HDTAs are connected, the task forces are not yet connected. This process is delayed and will be achieved in FY 2003.
<i>Training Objectives</i>			
Establish a HIDTA training oversight committee	Identify make-up of committee, create committee/100% completion	100%	The mission and function of the committee will be refined in FY 2003, and this objective will be continued.

HIDTA GOALS cont.	FY 2002 Target	FY 2002 Actual	Comments Plans and Schedules to meet unmet goals
Establish the HIDTA Assistance Center as the repository for all training records and as a clearinghouse for the HIDTA program	Use oversight committee to develop policy and process/100% completion	50%	Draft policy completed. Final policy slated for completion in FY 2003.
Develop HIDTA Program training curricula	Use oversight committee to develop curricula/100% completion	10%	Draft partially completed. Final version anticipated in FY 2003.
Complete training for information technology personnel in HIDTA regional offices	Use oversight committee to develop priorities and curricula/100% completion	20%	Curricula not fully developed, however, some training has been initiated.
<i>Strategic Planning and Initiatives Objectives</i>			
Biannual Director's Summit	Conduct two bi-annual Director's summits	50%	This objective is ongoing annually, and will continue in FY 2003.
Program Effectiveness Goals			
Goal 2: Reduce Impact of Drug Trafficking	Establish base year performance data in the areas of production, transportation, distribution, chronic drug use, and money laundering	0%	No performance measures developed. No results available.
Goal 3: Increase safety of American neighborhoods	Establish performance indicators and data sources to support	0%	No performance measures developed. No results available.

Figure 4 FY 1999 –FY 2002 Actual Performance Data

Note: The following table delineates actual performance from fiscal years 1999 until and including 2002. A blank cell indicates the target did not exist for that time frame. The goals in boldface delineate the FY 2001 reorganization of how the goals were labeled.

HIDTA GOALS AND OBJECTIVES	FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002 Actual
Each HIDTA to meet at least one additional step of the HIDTA Developmental Standards in at least one category	Results provided through 1 Jul 99 for 25 HDTAs. No analysis performed.	No analysis performed.	Determined to be an ineffective measure of the success of HDTAs.	Deleted.
Each HIDTA to disrupt, dismantle, or render ineffective 5 % of the targeted drug trafficking organizations identified in its threat assessment	FY 1999 performance report indicated "some effect." Not quantified.	FY 2000 performance report indicated "some effect." Not quantified.	No results or analysis.	Deleted.
Each HIDTA to disrupt, dismantle, or render ineffective 5 percent of targeted money laundering organizations	No analysis performed.	Deleted.	Deleted.	Deleted.
Each HIDTA to achieve a 5% reduction in violent felonies and property crimes.	No analysis performed.	No analysis performed.	No analysis performed.	Deleted.
Goal 1: Improve efficiency and effectiveness of law enforcement w/in the HDTAs.				
HDTAs employ HIDTA funding priorities according to HIDTA funding priorities and milestone guide; ONDCP to receive interagency input			100% Guide developed	100% Implemented
Develop and employ a financial database			100% Mapped rules and developed database processes	0% Selected project manager and research possible vendors to build application
Build and employ a HIDTA Program Performance evaluation component			100% Ascertained needs.	100% Development of evaluation plan. Developed component and target areas.

HIDTA GOALS AND OBJECTIVES cont.	FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002 Actual
Identify a process to identify and share best practices			100% Developed and identified needs	50% Completed. Developed process and extracted best practices.
Complete HIDTA on-site reviews.			50%.	32% (8/28)
Electronic interconnectivity between all HIDTA ISCs; connect 100% of HIDTA and develop sharing plan			1/3 connected; 1/3 connected within 90 days; 1/3 needed assistance.	Connections at 89% (25/28). Sharing plan development carried over to FY 2003.
Electronic connectivity between ISCs and HIDTA task forces			100% Developed policy.	100% Implemented policy.
Electronic connectivity of all HIDTA intelligence center to national, state and local intelligence centers			Developed needs and strategy.	Target determined to be unrealistic.
Development of a national information-sharing protocol			Ascertained needs and developed strategy.	100% Conducted interagency and policy dialogues
Software and hardware acquisition and installation between and among HDTAs			75% Developed needs and identify funding	100% Developed implementation strategy
Completion of software and hardware acquisition and installation between HDTAs and their task forces			75% Developed needs and identify funding	Ongoing
Establish a HIDTA training oversight committee			100% Developed needs and identify funding.	100% Identified make-up of committee, identified cadre, create committee

HIDTA GOALS AND OBJECTIVES cont.	FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002 Actual
Establish a HIDTA Assistance Center as the repository for all training records and as a clearinghouse for the HIDTA program			100% Developed needs and identify funding	50% Used oversight committee to draft policy and process.
Develop HIDTA Program training curricula			100% Developed needs and identify funding	10% Draft partially completed.
Use oversight committee to develop priorities and curricula.			100%. Developed priorities	20% Curricula not fully developed
Biannual Director's Summit Conduct			100%.	50%
Goal 2: Reduce Impact of Drug Trafficking				
Establish base year performance data in the areas of production, transportation, distribution, chronic drug use, and money laundering			This goal has been modified. New objectives and measures are expected in FY 2004	No results available
Goal 3: Increase safety of American neighborhoods				
Identify funding for contracting support to develop performance indicators and data sources			Objectives for this goal will be determined by the performance monitoring system.	No results available

Verification and Validation. Generally, goals and objectives from FY 1999 – 2001 (Figure 4) were evaluated partially or not at all.

Within Goal One of FY 2002, the *Administration and Accountability of Resources Objectives* section, performance data are highly reliable. Since the results are primarily outputs and are measured internally by ONDCP, they are easily confirmed. For example:

HIDTA funding priorities. All HIDTA funding was carefully tailored to HIDTA funding priorities. While there is inescapably some degree of subjectivity in evaluating this factor, all funded initiatives were funded according to HIDTA priorities.

- *Financial database.* A project manager was selected and possible vendors were researched to build the application.
- *HIDTA Program performance evaluation component, specifically designed for the intelligence centers* (not associated with the overall HIDTA Program performance management system implementation effort). A performance evaluation component was developed at all ISCs and information related to the component was disseminated to all HDTAs
- *Best practices identification and sharing.* Best practices were identified, catalogued, and a process was identified for distribution.
- *On-site HIDTA reviews.* HIDTA Program staff members were able to use information gleaned from reviews to confirm funding was actually driven by the HDTAs to support program priorities.

Likewise, performance data within the Information Management and Sharing objectives section is highly reliable and easily confirmed. The first set of objectives pertains to electronic connectivity, and meeting these objectives required HIDTA to ensure that all 28 HDTAs were implementing the policy. The last objective within this section pertains to conducting interagency and policy dialogues, and has some degree of subjectivity.

The next two program management objectives pertain to communication interoperability and software/hardware acquisitions. Data are easily confirmed and highly reliable.

The last set of program management objectives relates to HIDTA regional employee training, programs and information retention. While this is more difficult to measure, the specific objectives are easily ascertained, and pertain to identifying make-ups of committees, developing policies, priorities and curricula. The HIDTA staff ascertained that all actions were successfully completed.

Each HIDTA implements an internal management system to monitor and report performance. ONDCP reviews the HIDTA management systems and validates the results reported by HDTAs. Additionally, the management review processes are also reviewed and improved as necessary. Evaluations include external financial auditing services and periodic on-site reviews to verify each regional HIDTA's compliance with ONDCP's program policy, fiscal accountability and progress toward achieving performance targets. In some cases, these reviews

may prompt in-depth program evaluations that distinguish useful programs from inefficient and ineffective ones. These reviews may also assist ONDCP's evaluation of HIDTA designations and help in planning and implementing new efforts to improve program management.

There will be a significant gap between contract preparation and actual implementation of appropriate performance indicators for HIDTA under the HIDTA Performance Monitoring and Management System project. Once the program is implemented (expected in FY 2003), performance indicators developed through the project will help better determine the overall effectiveness of the HIDTA Program.

Program Evaluations. Program evaluation begins with the review of annual reports and funding proposals submitted by the HIDTA regional offices. ONDCP also evaluates each HIDTA's annual drug threat assessment, the strategy for addressing identified threats, the initiatives for implementing the strategy, and the impact of HIDTA initiatives on identified drug trafficking problems. In addition, ONDCP reviews each HIDTA's infrastructure requirements and funding requests. Each year, ONDCP evaluates every HIDTA to ensure compliance with statutory requirements, as well as ONDCP's program and budgeting guidance. In its oversight role, ONDCP also conducts on-site program and financial reviews of selected HDTAs.

The HIDTA Program Review Process provides an institutionalized mechanism for reviewing all HDTAs on a regular basis. This review process is designed to help assess the program's support of the *Strategy*; efficiency and accountability in the use of HIDTA resources; and compliance with applicable laws, regulations and policies. Reviews of physical security, compliance with Title 28 Code of Federal Regulations intelligence dissemination guidelines, implementation of the General Counterdrug Intelligence Plan, and other conformity issues are being conducted.

In addition to the HIDTA Program reviews described above, in FY 2001 a nationally recognized certified public accountant (CPA) firm began conducting financial audits of HIDTA funds. The first set of final reports for selected grantees and Federal agencies resulted in all unqualified opinions on full-scope audits and no major findings on limited-scope audits. The CPA firm will continue to conduct financial audits of HIDTA funds which will allow for independent assessment and accountability.

The ONDCP team and CPA firm will independently conduct on-site programmatic and fiscal reviews of the HDTAs, reviewing and reporting on all management, financial, and operation systems within the HDTAs. This system of reviews will greatly strengthen accountability for resources used throughout the HIDTA Program.

SUMMARY

The FY 1999 and FY 2000 performance measures, and to some extent, the FY 2001 performance measures were either flawed or simply not measured. For FY 2001, the HIDTA Program revised program management performance indicators to be realistic, reliable, and measurable. HIDTA recognized the need for effectiveness performance indicators and is pursuing this issue through the establishment of the Performance Management System.

In FY 2002, the HIDTA Program made great strides toward improving the efficiency of both management and systems. HIDTA is poised to finally achieve total interconnectivity between all HDTAs in the upcoming fiscal year. We anticipate that the notable progress in improving management and systems will result in measured and provable disruption to the drug market.

The FY 2004 Budget Request and Performance Plan continue to improve upon the FY 2002 and FY 2003 performance measures. The objectives currently being developed emphasize accountability and fully support the ONDCP Strategic Plan, and ultimately, to the President's *National Drug Control Strategy*. The HDTAs nationwide significantly contribute to removing drug traffickers and trafficking organizations that drive the illegal drug market and to eliminating tons of illegal drugs that flow each year through high-intensity drug trafficking areas to other American communities.