

## PERFORMANCE-BASED MANAGEMENT AND PUBLIC POLICY: NATIONAL DRUG CONTROL AS A CASE STUDY

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Performance Management refers to a variety of mechanisms aimed at aligning the operation of an organization or agency towards the attainment of some desired results. The intent is to enable the agency to rise above, at least to some extent, extant forces of turf, inertia, and institutional bias in order to focus on achieving goals identified as desirable. Although the Mission, Goals and Objectives are often identified as the *raison d'être* of an agency, historical forces and political interests have often resulted in agencies focusing more on protecting the status quo and institutional turf than on achieving the proclaimed goals. Performance Management seeks to re-focus the agency by substituting some degree of policy-rationality, defined as purposive behavior to achieve stated policy goals, for political interest.

Public sector managers have become increasingly interested in Performance Management as various government initiatives have refocused them on results rather than on process and outputs. The Government Performance and Results Act (GPRA), the Chief Financial Officers' Act, the Government Management Reform Act, and the National Partnership for Reinventing Government are all recent manifestations of the move towards greater accountability. The GPRA has underscored the emphasis on performance-based management by requiring managers to identify outcomes or desired end states, describe how they plan to achieve them, and evaluate progress to calibrate their plans, all this within the context of stakeholder consultation. Clearly managers must learn how to manage for results.

In a previous paper, "A Systems Approach to Performance-Based Management: The National Drug Control Strategy," Simeone, Carnevale, and Millar identify, within a systems framework, certain tensions between policy-rationality and political reality that surface as the Federal government deliberately embarks on a multi-year program of improved management.<sup>1</sup> Unless these tensions are consciously addressed, it is not likely that the full scope of Performance Management can be realized. The authors identify four components of public governance – Community, Strategy, Budget, and Evaluation – that must be linked in order to enable the agency to achieve its goals.

This paper addresses these issues within the context of the national drug control area. We examine the efforts of the Office of National Drug Control Policy (ONDCP) and its drug control partners as an example of how to link the four Components, using analytical tools such as Logic Models, Action Plans, and Performance Partnerships. We do not claim to have accomplished this ambitious goal: a good start has been made and a conceptual design developed. This case study outlines this design, describes what has been completed, and what remains to be done. It

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describes the four components as they pertain to the drug control mission area and proceeds to describe our efforts to link the four through Performance Measurement and Management.

### **Framework: Four Components of Governance**

Most of the efforts to improve management and accountability seek, in one way or another, to focus the organization or agency on the desired results and harness its resources accordingly. The GPRA, for instance, requires Federal agencies to chart out a multi-year Strategic Plan in consultation with its stakeholders. It is then required to operationalize this plan every year in the form of a Performance Plan that outlines what it plans to accomplish for the resources requested that year. Finally, it is required to assess annual progress and calibrate the Strategy accordingly.

These quintessential elements of accountability reflect key elements of what agencies must do to focus its collective will on what it set out to do – its mission as defined by its vision and its *raison d'être*. These key elements – planning, budgeting, and assessment of progress – form an iterative feedback loop operating within a political and social environment. In system terms, these four elements may be called Strategy, Budget, Evaluation, and Community. All four must act in an integrated manner for a cohesive, integrated effort.

To link these four components is a daunting prospect in the smallest of agencies. It assumes gargantuan proportions when one factors in fifty Federal drug control agencies and their state and local partners. Add to that, the panoply of private sector organizations and interest groups and you have a challenge of Herculean magnitude.

The four components of governance, as discussed by Simeone, Carnevale, and Millar using the systems approach, are as follows:

- *Strategy* – the mechanism that allows goals to be pursued. This, in GPRA parlance, translates into a statement of mission with goals and objectives accompanied by a statement of how to achieve these (that is, policy intent),
- *Community* – the constituent elements that are engaged in or interested in this pursuit. GPRA specifically requires consultation with stakeholders,
- *Evaluation* – the mechanism that guides this pursuit. This feedback loop is accomplished through performance measurement that includes monitoring progress regularly (performance monitoring) and assessing the reasons for accomplishments (program evaluation), and
- *Budget* – the mechanism that allows resources to be used for this pursuit. GPRA links the first three components to the budget.

In the area of drug control, each of these Components operates within an environment in which analytics is often at odds, or competes with, political realities. And yet, these components must work together for ONDCP to accomplish its statutory mission to reduce drug use and its consequences. ONDCP is required to accomplish its mission by leading and motivating the drug control community: this includes over fifty Federal agencies, their state and local partners, a variety of private sector agencies, and foreign countries. To manage for results, we have to link the four Components to focus on accomplishing the stated mission.

We examine first each component as it relates to drug control before we discuss the processes of linking them.

### *Strategy*

Generally speaking, Strategy is the conceptual design that allows some desired set of ends to be pursued. This component is designed by the Community and receives from Budget the resources necessary for implementation. The success of this endeavor is measured by Evaluation.<sup>7</sup> The Strategy should include Goals, Objectives, Programs and the linkages between them. The underlying assumptions should also be clear.<sup>8</sup> We now examine the drug control strategy.

ONDCP, located in the Executive Office of the President, was created by the 1988 Anti-Drug Abuse Act<sup>9</sup> to develop a national drug control strategy (*Strategy*) and a Federal budget to implement it. The *Strategy* is required to include long-term goals and short-term measurable objectives focusing on three principal outcomes: a reduction in drug use (demand), availability (supply) and resultant consequences.

The *Strategy* is a ten year-plan to guide the drug control community – Federal, state, local, international, and the private sector. It is structured around five Goals and 31 Objectives intended to accomplish the mission. The Goals focus on prevention and education to protect children from drug use (Goal 1); law enforcement targeting traffickers (Goal 2); treatment to reduce health and other social costs (Goal 3); interdiction to reduce the amount of drugs available (Goal 4); and abatement efforts targeting domestic and international production, cultivation, and trafficking (Goal 5). Exhibit 1 diagrams this *Strategy* and the underlying linkages and assumptions.

### *Community*

In general terms, Community is the collection of stakeholders with various degrees of interest and involvement in a strategy. Community has often been separated into "external" stakeholders such as Congress, OMB, interest groups, and the public that are deeply interested in the Strategy but are not directly involved in implementing it. "Internal" stakeholders are described as those directly involved in carrying out the activities required by the Strategy; these include agencies with programs and activities that contribute to the Strategy. This distinction is less clear as we address mission areas that cut across agencies and levels of government.

The drug control *Strategy* relies, for its implementation, on a whole host of Federal, state, local, and private sector agencies not to mention foreign governments. As the White House policy agency, ONDCP is tasked with coordinating and leading these agencies in order to meet the Goals and Objectives of the *Strategy*. Clearly, the task of obtaining input and continuing commitment to the *Strategy* is no easy task.

ONDCP is required by law to consult a wide array of experts and officials, including the heads of drug control program agencies, the Congress, state and members of the private sector as the *Strategy* is being developed. This extensive process of consultation is described in various

*Strategy* documents.<sup>18</sup> At the end of this process, the *Strategy* is formulated...an initial step in linking the Component of Community with the Component of Strategy. Obtaining commitment and getting agencies to align their activities accordingly, is another matter altogether. This is where Performance Management comes into the picture but before we discuss our efforts in this direction, we need to complete the discussion of the four Components.

### ***Evaluation***

In general, Evaluation provides information on the effectiveness of Strategy to Community and Budget. Evaluation allows Strategy to be refined and Budget to allocate resources wisely. Through performance monitoring, the community can calibrate the implementation of the strategy. Through in-depth program evaluation, the community can assess why success happens and why it doesn't. But prior to all this, the community has to agree on what defines "success" or lack of it...in other words, on the performance measures and targets that form the backbone of any performance measurement system.

Authorizing legislation required ONDCP to monitor the implementation of the *Strategy* through program evaluations often conducted in collaboration with Federal agencies. Over ONDCP's history, this measurement has not been consistent, to the frustration of Congress and the public. Only recently in 1997 did ONDCP develop a systems-based approach to measure progress towards the *Strategy's* Goals and Objectives.

Working closely with its Federal drug control partners, ONDCP designed the Performance Measures of Effectiveness (PME) System to assess the progress of the national drug control community. Interagency teams identified performance targets and measures for the years 2002 (five years from the development of this Administration's Strategy) and 2007 (ten years out) for each of the five Goals and 31 Objectives of the *Strategy*.

The PME System includes twelve Impact Targets that reflect the ultimate end outcomes desired by the drug control community. These represent long-term "success" in achieving the Goals of the *Strategy* -- see Exhibit 2. In addition, the PME System identifies 84 performance targets associated with each of the 31 Objectives of the *Strategy*. Each performance target has one or more measures by which progress towards the target is to be measured.

The process of developing the PME System constituted a second exercise in linking the Component of Community with that of Evaluation -- this process is described later in this paper (under the section "Performance Measurement.")

### ***Budget***

Defined in general terms, this Component involves processes related to the appropriation and allocation of resources. It accepts cost parameters from the Community and receives information on the performance of the Strategy from Evaluation. Budget provides guidance to the Community as well as the resources necessary to implement Strategy.

Resources for the drug control community come from Federal, state, local, and private sources. ONDCP does not control the Federal \$17 billion budget but it has statutory authority to assess each Federal drug control agency's annual budget before it is submitted to the Office of Management and Budget. The assessment is to ensure that each agency's budget is sufficient to meet the requirement (for that year) of the *Strategy*. If the submission is deemed insufficient, ONDCP has the authority to "decertify" the submission. This process is not without a political price: nonetheless, it represents a formal effort to link the Component of Budget to that of Strategy.

### **From Performance Measurement to Performance Management – Linking the four Components of Governance**

ONDCP's mandate is not merely to guide the national drug control community's efforts to achieve the *Strategy* Goals and Objectives. Its mission is to "reduce" drug use, availability, and its consequences. In fact, the 1998 Reauthorization Act while endorsing the PME System as the vehicle by which to assess the effectiveness of the *Strategy*, also legislated outcomes for the drug control community'. Obviously, measuring performance and reporting it will not suffice. ONDCP must find ways to parlay its limited statutory authority into enticing its partners into focusing on the results to be achieved and the best way to get there.

The process of linking the four Components becomes considerably more difficult when numerous agencies and sectors of government are involved – Performance Measurement must address issues of joint accountability and Performance Management must address results-focused alignment and integration within the framework of Federalism and states' rights. We now examine the processes we used to progress from Performance Measurement to Performance Management, using tools like Logic Models, Action Plans, and Performance Partnerships. Exhibit 3 is a graphic summary of this effort – past and future. We will follow this chart as we describe the processes and tools used as well as future steps planned.

#### ***Performance Measurement***

The development of the *Strategy* through extensive consultation with both external and internal stakeholders has been described earlier. This process entails the input solicitation, draft reviews, comments and modifications familiar to agencies developing Strategic Plans; we need not focus on this process here. (should I say more here?) Suffice it to say that through this process, the *Strategy* was developed, including statements of Mission, Goals, and Objectives.

The next step was to develop, through an interagency mechanism, the indicators of "success" - the **performance targets and measures**. To do this, we invited "experts" in the diverse areas of prevention, treatment, law enforcement, interdiction, and source country efforts to identify what the community would consider to be "success" in the years 2002 and 2007. To do this systematically, we established working groups consisting of experts from about fifty Federal agencies such as DOJ, HHS, DOD, D.Ed., etc. as well as constituent units like SAMHSA, NIDA, OJJDP, BJS. We grouped the 31 Objectives by theme and asked the interagency groups to

identify long-term targets, measures for tracking progress, and data sources (in some cases, to be developed.) Exhibit 4 reflects this process.

Focusing on long-term targets removed to some degree the stranglehold of the annual budget upon the creativity of these experts: participants could focus on what needed to be done rather than what OMB's budget ceilings would permit them to do.<sup>vi</sup> The problem with starting with budget projections is that they tend to favor the status quo and discourage innovative solutions. Undoubtedly, the issue of resources will re-enter the picture but we found it liberating not to start with budget issues and focus initially on policy questions. This process also enabled the identification of "stretch targets" requiring more-than-routine effort in order to improve upon past trends. Ambitious no doubt, but it is worth noting here that ONDCP's mission is to "reduce" drug use and availability, not merely to reduce the rate of increase. Note also that these stretch targets, albeit ambitious, were based on analysis of historical trends.

Working Groups identified a range of outputs, intermediate outcomes, and end outcomes. Several iterations were needed to develop outcome-oriented measures and acceptable target numbers. ONDCP pushed for outcomes whenever possible, occasionally taking the lead in order to enable this. For instance, it was extremely difficult to convince some agencies that a measure of amounts seized, although valuable as a workload indicator, did not suffice as a measure of effectiveness in keeping drugs out of the U.S. The argument was that no one knew the amounts of various drugs (cocaine, heroin, methamphetamine, and marijuana) being smuggled in and therefore, it was not possible to calculate interdiction rates at various zones from source countries to the U.S. market. ONDCP has, since then, convened an interagency group in order to chart an acceptable flow model that would yield drug flow estimates for these stages. Although the first model (for cocaine) is a first cut with limitations, it enables an estimate of the success of interdiction in source countries, in transit and arrival zones, domestic law enforcement's effectiveness in keeping drugs away from the public, etc. No doubt this model will undergo several iterations as this group seeks to reconcile differences and refine estimates.

The point here is that with ONDCP leadership and the expertise of various agencies, major strides have been made to monitor progress towards key targets relating to the supply of illegal drugs. What is even more important is that the PME System was developed by the community of Federal drug control agencies under ONDCP leadership - linking the Component of Community with that of Evaluation.

In order to resolve some of the technical issues regarding outputs and outcomes, we engaged the chairs of each working group in charting the path between their objective (and targets) and the end outcome (one of the twelve Impact Targets) they were working towards. By requiring them to explicate underlying assumptions linking various objectives, targets, and goals, it became clearer to each group what each target contributed towards the end outcomes for demand, supply, and consequences. Putting together these mini-logic models resulted in our developing a strategic-level logic model that displayed graphically the connections, actual and presumed, between various elements of the *Strategy*. We found this graphic (Exhibit 5) of the analytic framework underlying the *Strategy* useful at first to develop understanding and consensus among the interagency working groups. Later, we found the graphic useful in explaining the *Strategy* and its PME System to external stakeholders such as Congress. Instead of complaining about

"mere" output measures, stakeholders saw more clearly the linkages between outputs such as the publication of research documents and eventual changes in youth drug use – see Exhibit 6 on the Logic Model for Goal 1 on drug use prevention. The development of this strategic level logic model became a process for gaining consensus in the community.

The next step was to set up an information system to collect the requisite **data on each measure** in order to monitor progress towards each target. The legally-mandated Interagency Data Subcommittee took on the task of identifying gaps where no data existed (such as the lack of nation-wide information on waiting time to receive drug treatment services or the effectiveness of treatment services received). The subcommittee prioritized these needs and linked them with agency budget submissions. For instance, with encouragement from this subcommittee, HHS included an initiative on a national treatment outcome monitoring system in its FY 2001 budget submission. The subcommittee continues to seek ways to close such data gaps.

Meanwhile, ONDCP set up an **Information Management System** to collect available data in order to conduct performance monitoring. A protocol has been established to obtain information routinely from the agencies that maintain databases and report on them at various times in the year. There is more to do to streamline this collection effort. This process involves a different set of interagency participants than those in the Working Groups – the former are largely responsible for data systems in the agencies involved. This constitutes a further linking of the Component of Community to that of Evaluation.

Finally, the results of such monitoring must be reported to the larger community. **The Performance Measures of Effectiveness, 2000**, the first **Report** to report on actual progress compared to expected progress, shows the extent to which progress towards each target (for which we have data) is "on-track." In the absence of simulation models, we projected linear paths from the 1996 base year to the 2002 and 2007 targets. While recognizing the limitations of such linear projections, we used this "glide path" to give preliminary guidance regarding progress-to-date: a rough set of score cards.

We also used the strategic-level logic model to display progress, with green boxes for targets where progress is on track, red boxes where it is not, and gray boxes where data are not yet available (Exhibit 7.) Clearly it is useful to note that although most of the targets under Goal 1 (Prevention) are green, the impact targets for that goal are red. This would seem to imply that the targets in the gray boxes (of which there is a sizeable number) would show as "red" were we to have the data. An alternative explanation would call into question the logic underlying Goal 1's Objectives and Programs. This example illustrates the utility of this strategic-level graphic in displaying progress.

As performance monitoring becomes routine and reports generated annually, **program evaluations** will be triggered in future as targets are missed over a period of time. These interagency efforts will identify patterns of success – what works in which situations, in short, "**Lessons Learned**" – for the community. We expect these to be shared through the Internet. We also expect these findings to influence agency budgets. But these are future directions – as shown by dotted lines in Exhibit 3.

The performance measurement part of the system is in place although improvements regarding data gaps, data collection, quality of the data, and other issues require considerable effort. Program evaluations have to be undertaken and their findings used. Use of these findings by external stakeholders such as OMB and the Congress is an open question. Use by internal stakeholders will be further addressed under Performance Management.

### *Performance Management*

This term implies using the results of Performance Measurement to improve the chances of achieving desired results. It means managing with the primary focus being the achievement of pre-specified targets. But it is more than that. GAO suggests agencies align their core processes and resources – IT, personnel, budget, evaluation, etc – to focus on outcomes so that all systems work together to achieve the common goal.<sup>iv</sup> Systems within and outside an agency have to be coordinated if not aligned – external and internal stakeholders, the budget, the design of the strategy and its implementation, etc. In short, the four Components of public governance – Strategy, Community, Evaluation, and Budget - must be linked in purposive ways.

Undertaking Performance Management is considerably more difficult in situations where lack of control is a key characteristic. ONDCP does not have many statutory authorities with which to insist that its guidance vis-à-vis integrating the activities of various agencies, be followed. It has, therefore, to rely on persuasion, participation, and political leverage. We engaged in a variety of processes to focus the Federal community on the long-term targets.

As indicated in Exhibit 3, we developed **Logic Models** for each target (or set of targets). When ONDCP insisted on “stretch targets,” our Federal partners complained, legitimately, that they had only limited control over complex outcomes such as reducing drug use in the U.S. Federal managers are more able to deliver outputs such as “the number of clients served” or “the number of arrests” since these are within their control. Nonetheless, our external stakeholders rightly expect outcomes such as reduction in “the number of hard-core users” and “reduction in drug-related crime.” In order to address the issue of limited control, we re-convened working groups in order to identify analytically, the steps that had to be undertaken in order to accomplish these outcomes.

Considering each target as a “dependent variable,” we asked the question: What factors are known to influence this target?” Clearly, these factors or “independent variables” had to be manipulated in some way in order to accomplish the desired target result. Working groups were then asked to identify, for each factor, those activities (or interventions – programs, legislation, regulations, tax incentives, etc.) that could affect factors in such a way that the target would be achieved. We asked them to consider the whole spectrum of tools available to federal, state, local, and private sectors. The next step was to identify activities already in existence and those that did not exist. The final step was to assign responsibility for each activity to the Federal agency responsible. Activities under the purview of other sectors (e.g., state) were labeled as such. For details, see Millar, Simeone, and Carnevale, “Logic Models: A Systems Tool for Performance Management.”<sup>viii</sup> Exhibit 8 is an illustration of one such logic model for the corrections area. It addresses the key issue of recidivism for drug-using offenders.

These logic models are conceptual tools to identify presumed causal links between interventions (governmental and non-governmental) and anticipated results. For each linkage, the question that we urged was: Is this linkage based on theory, research, data, intuition, or tradition? Developing logic models proved to be a valuable tool in getting participants with differing gestalts and institutional loyalties to begin a common target-focused dialogue. In some cases, the logic model reflected merely the status quo. In others, new ideas were proposed and incorporated.

Moving from conceptual agreement into operational consensus required translating the Logic Models into interagency **Action Plans**. Early drafts often omitted timelines and sometimes, the names of agencies responsible for various actions. Nevertheless, they constitute the first stages of interagency collaboration that is target-focused.<sup>15</sup> As targets are missed or as resources become scarce, the logic models will become the basis for developing alternative strategies and actions. We hope that the analytical questions re the basis of presumed linkages will, at that time, enable participants with varied political agendas to forge some consensus regarding the best actions to meet the targets. Exhibit 9 is the Action Plan for recidivism corresponding to the Logic Model in Exhibit 8.

The Action Plans are considered as dynamic "works in progress" and therefore, will not be officially "cleared by the agencies. Were they to run the gauntlet of clearance by various departments, it is likely that they would be reduced to a minimal statement of status quo. We also felt that participants could operate more freely as subject matter experts if they did not have to worry about institutional turf.

These Action Plans soon became the building blocks for linking agency (annual) budgets to the *Strategy's* implementation. The Action Plans laid out **agency actions** by agency and year. These in turn, provided the link to **annual agency budgets** and the corresponding GPRA Plans. ONDCP is required by statute to assess each drug control agency's budget submission in terms of its adequacy to meet the Strategy's needs. To facilitate this assessment, ONDP sends guidance each Spring to the relevant agencies. In 1999, we asked the working groups to identify FY 2001 initiatives, based on the Action Plans, that were critical to target achievement. One of the initiatives was for HHS to develop a nationwide monitoring system to track treatment effectiveness. This recommendation, endorsed by the (earlier-mentioned) Data Subcommittee, was supported by ONDCP during the formulation of the President's Budget. Thus key actions for the year were translated into agency actions to be accomplished, for which funding would be incorporated in agency annual budgets. Although a start has been made, this link is quite tenuous and needs more effort before it can become routine.

Logically speaking, the agency actions and corresponding dollar amounts should be identified in agency **GPRA products**, in particular, in **agency Performance Plans**. This linkage is still to be forged. GPRA legislation allows agencies (departments) a fair amount of flexibility in aggregating their activities and programs. This means ONDCP cannot insist that agencies breakout their drug control activities to reflect agency actions deriving from the "informal" action plans. We hope to collaborate with OMB to bring about consistency in agency GPRA plans. Translating the Action Plans into Agency Actions funded by Agency Budgets and included in Agency GPRA Plans will be a challenge.

A key shortcoming of this process is that many if not most of the activities in drug control are undertaken by state, local, and private sector agencies. To engage in target-focused activity without including our non-Federal partners is to limit seriously, the probability of success. This is particularly true since the targets developed were designed as "national targets" entailing Federal as well as non-Federal resources and activities. (should I mention these were the terms of clearance?) Clearly, the PME System has to be "nationalized" and Performance Management must include Federal as well as non-Federal agencies and groups.

### *Nationalizing the PME System*

This process, as shown in Exhibit 10, has just begun. The first step is to develop "small communities of stakeholders," each focused on a set of targets. These national working groups will be responsible for identifying the best courses of action for meeting the targets by 2007. Logic Models developed earlier by Federal working groups will be revisited and refined to incorporate non-Federal perspectives and requirements. Federal Action Plans will be re-done to include state, local, and private sector contributions and responsibilities. Responsibilities will be assigned and timelines mapped. These will constitute "**National Action Plans**" for each set of targets.

This step has been undertaken on a trial basis for one set of targets – Goal 1, Objectives 8 and 9, targets on the development and dissemination of research-based principles and programs for drug abuse prevention. We anticipate developing national Action Plans for a few more targets this year.

One interesting occurrence is the unwilling participation of skeptics unwilling to reconsider their current activities and plans in the light of new Action Plans. Some of them are still not participating in the process, others seek to skew the Action Plans to reflect the status quo, and yet others after reluctantly acknowledging them are reformulating them to reflect earlier priorities! This is to be accepted. We consider the process to be an iterative one with new directions likely to be recommended as non-Federal viewpoints are included. Another impetus for change will be the non-achievement of targets. As progress falls below the glide path necessary to meet the 2007 targets, tougher questions are likely to surface. We will, at that time, raise again questions of validity – what are the bases for the links in the logic plans? We expect to facilitate discussions of alternative actions and possibilities.

These national working groups will also have to **monitor** the extent to which actions recommended in the National Action Plans are completed. Action Plans will need to be fine-tuned annually to reflect changes in anticipated budgets, missed targets, and changes in drug problems (emerging new drugs, new sources of supply, etc.) **Adjustments in the Action Plans** will be recorded in the Information Management System (IMS) described earlier and reported in the **PME Reports**.

Each national working group will form the nucleus of activity centering around the targets. Members of these national working groups are to be selected carefully: ideally they will be subject-area experts as well as representatives of larger constituencies. Selling the Action Plans

to the larger constituencies will be part of their responsibility. The Federal community will need to assign responsibility by agency and link them to agency budgets and GPRA Plans – as described in the earlier section. Non-Federal contributions will need to be incorporated into **state, local, and private sector budgets and agendas**. Some degree of customization will be required since each state and locality has its own drug issues and preferred ways of tackling them. These issues will be addressed in the upcoming years as the nationalization efforts proceed.

Dynamic in nature, these Action Plans constitute a tool for focusing the national community of stakeholders on what actually needs to be achieved (that is, the targets) and for forging alliances so they can be accomplished in time. Forging alliances, a time-consuming and labor-intensive activity, will be accomplished through the informal agreements that will occur in the national working groups as well as, more formally, through Performance Partnerships.

**Performance Partnerships** involve one or more agencies or levels of government collaborating on the best ways to achieve mutually agreed-upon objectives. Most often, this entails Federal funding and state and/or local agency programs. Sometimes, it involves private agencies as in the EPA Partnerships. Agreements are formalized and progress monitored and reported on.

In the drug control area as in other governmental functions, the powers of each level of government are constrained through formal as well as informal mechanisms. Sometimes, this pattern of federalism results in Federal funding and Federal accountability to Congress without the power to require outcomes from non-Federal agencies and governments. Sometimes, Federal regulations are not accompanied by funds to carry them out. Clearly, a more persuasive mechanism needs to be found if we are to work together to achieve national goals as mandated by the President's Drug Control *Strategy*.

ONDCP has initiated, as a demonstration project, three Performance Partnerships – with the states of Oregon and Maryland and the city of Houston.<sup>41</sup> Formal Memoranda of Agreement have been drawn up and Federal and state/local agencies have been drawn into interagency-intergovernmental working groups. Long-term targets have been selected, customizing the national targets in the PME System to meet the state's requirements. Logic models have been developed and Action Plans drafted. While these products are in various stages of development, the dialogue has begun. States have identified obstacles to target achievement and Federal actions that could help resolve them. Federal agencies have begun examining them to explore possibilities for collaboration. The underlying premise is that if Federal agencies can yield on procedural requirements (such as certain reporting requirements) states can more easily promise pre-specified performance targets.

This paper will not focus on the details of these Performance Partnerships as they constitute one of many elements in the process of managing for results; these will be addressed in a forthcoming paper. ONDCP has entered into three partnerships in order to understand better federal-state-local dynamics as they operate in the area of drug control. We also hope to encourage further such partnerships, formal and informal, that are focused on improved performance to meet state and national targets.

### *Next Steps*

Much has been accomplished; much remains to be done. Performance Measurement is largely in place; Performance Management is still in an incipient stage. The entire process of nationalizing has to be undertaken for Goals 1, 2, and 3. The remaining two goals, focusing largely on international issues relating to the supply of various drugs (including domestic cultivation of marijuana and production of methamphetamine,) present slightly different issues. Currently the drug threat is under re-assessment after which the Federal Action Plans will require modification before international implications can be addressed.

The Action Plans will need streamlining and as resource limitations become more apparent, a greater degree of analytical rigor will be needed to cull less-effective policies and activities. Programs and resources contributing to each activity will need to be listed. Obstacles to target achievement will need to be identified and plans included for addressing them (conflicting national legislation, for instance.) ONDCP in tandem with its Federal partners, will need to play a key facilitating role in tackling Federal obstacles.

Obviously, the task of developing and strengthening the national working groups will be no easy one. We need to involve representatives from OMB, Congress, and other legislative bodies without limiting the freedom of the national working groups to explore new creative approaches through budget and partisan restraints. The logistics of conducting these dialogues and disseminating the results will need to be addressed through the use of the Internet and other forums.

Even were these steps taken and nation Action Plans developed, we would have engaged basically in "target-focused" strategic planning.<sup>xii</sup> To engage in Performance Management, the these Action Plans would need to be linked to budget decisions as well as monitoring and evaluation results factored in. ONDCP would need to take the lead in addressing Federal obstacles to meeting the targets. Performance Partnerships would need to be forged at many levels for most of the targets and agencies at all levels persuaded to commit resources and modify current agendas to meet the targets.

What incentives are there for Federal non-Federal agencies to work cohesively as target-focused small communities? Currently, very little to motivate participants to risk institutional ire and financial and political fallout by offering new ways of conducting old business. This is an area where we have considerable work to undertake. Although financial incentives are the most attractive, they are generally the hardest to deliver, especially to such a large number of states, localities, and private groups. ONDCP needs to examine other possibilities such as the use of publicity, awards, connecting with professional organizations, etc in order to persuade our Federal and non-Federal partners to align their activities towards the achievement of the President's drug control targets.<sup>xiii</sup>

### **Conclusions**

To generalize from the ONDCP experience...the approach described here is one of many for orchestrating change so as to manage for results. Although the tools described here – logic models, action plans, and performance partnerships – are useful in managing the process, it does not say much about the style of such management. Managing for results is a risky enterprise because it takes place in a dynamic political environment. There is an inherent tension between leadership<sup>sv</sup> and consensus-building in this process. Consensus-building is more permanent but takes much longer as participants adhere to long-held safe positions. Nonetheless, consensus may be preferable if one's stakeholders are willing to be patient. ONDCP did not have that luxury since its stakeholders demanded an immediate measurement system with ambitious targets. Its style therefore, tends towards a greater degree of leadership with all the risks entailed.

The style with which an organization uses the tools described here is always going to involve some combination of leadership and consensus-building. The degree to which one or other trait dominates should depend on several issues. The basis for action (coordination in the case of crosscutting areas) – de jure or de facto authority – is a key element. For instance, the Environmental ?? Group, an less formal body of staff representatives of various agencies, relies on consensus-building, and has taken the time necessary to progress from the identification of output measures to outcome measures. ONDCP, on the other hand, has a certain amount of statutory authority in its reauthorization language and as a White House Office. It is also held responsible for meeting specific targets specified in its Reauthorization. This enables it to insist on stretch targets and to influence budget outcomes to a certain degree.

Another aspect that should influence the style is the extent to which the SES in charge of the Performance Management effort as well as the head of the agency, are "risk-takers." Without the clear backing of the relevant SES and the agency head, it is advisable to take the consensus-route. Even the choice of "stretch targets" representing a "reach" (more than maintaining the current rate of achievement) reflects a certain amount of risk-taking since there is a lower probability of success.

The third element to consider is the extent of stakeholder pressure. Agencies (such as ONDCP) with stakeholders who take high visibility positions and insist on ambitious results, may need to take a leadership stance, the risks notwithstanding. Thus the style with which these Performance Management tools are likely to be used, may vary. This balance of consensus and leadership is a dynamic one – for instance, it will vary according to the level of government involved. ONDCP, for example, has far less influence over non-Federal agencies: hence the need for leverage through various kinds of incentives.

Regardless of the mix of leadership and consensus-building, Performance Management demands a catalytic role since it requires active intervention in order to link the four components of governance in order to focus them on the targets. ONDCP has sought to undertake this role in keeping with its legislative mandate – to coordinate and lead the national-drug control community in order to accomplish desired end states.

Have we substituted policy rationality for political interest? Is it likely or even desirable? The National Drug Control *Strategy* is influenced by politics even as it is based on policy and

science: The Mission, Goals and Objectives further reflect this mix. The Logic Models and Action Plans also reflect policy and management priorities. Nonetheless, past patterns of resource allocation have not reflected policy rationality.<sup>vi</sup> Program alignment to focus on targets has been minimal. Program elimination, based on evaluation findings, is unlikely given the volatile mix of politics, policy, and fervor.

Performance Management – harnessing the collective will of the nation to focus on a national problem, in the case of crosscutting issues – will not replace partisan or institutional or ideological politics. Nevertheless, by involving and educating relevant stakeholders, political decisions can be factored into the process so that their implications are discussed and made public. Policy interests and management concerns can be addressed within the political context, by focusing on the end states desired and the implications of various preferences on these. By making them public, the dialogue should become a more informed one. Moreover, the alliances formed in this process may constitute powerful political forces. The tools and process described here will not eliminate politics but it can help manage to some extent, the complex interactions between politics, policy, and management. Such a system, flexible enough to adapt to changing politics, budgets, and policies and based on stakeholder involvement, will facilitate progress toward a results-oriented institutional culture.

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<sup>i</sup> “A Systems Approach to Performance-Based Management: The National Drug Control Strategy” Ronald S. Simeone, John T. Carnevale, and Annie Millar (unpublished paper under review).

<sup>ii</sup> Ibid. The generalized descriptions of the Components are drawn from this paper

<sup>iii</sup> Public Law 100-690 as amended.

<sup>iv</sup> For instance, see Section VI of *The National Drug Control Strategy, 1997*.

<sup>v</sup> Public Law 100-690 as amended. For details, see *Performance Measures of Effectiveness: Implementation and Findings, Appendix?*

<sup>vi</sup> Note that there is no budget or planning ceiling for the drug control mission, only for individual agencies. Most “drug control” agencies have missions that include other goal areas. Also note the comment in the IRS case study of its GPRA process that budget-driven performance targets are not likely to “get out of the box” (check cite)

<sup>vii</sup> “Effectively Implementing the Government Performance and Results Act,” (General Accounting Office, 1996)

<sup>viii</sup> “Logic Models: A Systems Tool for Performance Management” Annie Millar, Ronald S. Simeone, and John T. Carnevale (unpublished paper)

<sup>ix</sup> Coordination attempts abound but they are not always systematic or target-focused. Objective-focused coordination sometimes flounders since objectives are often couched in general terms, thus masking conflicting purposes reflecting divergent views among participants.

<sup>x</sup> Efficiency issues should surface during these discussions which hitherto, have focused on effectiveness.

<sup>xi</sup> For details, see forthcoming paper on Performance Partnerships in the Drug Control Area.

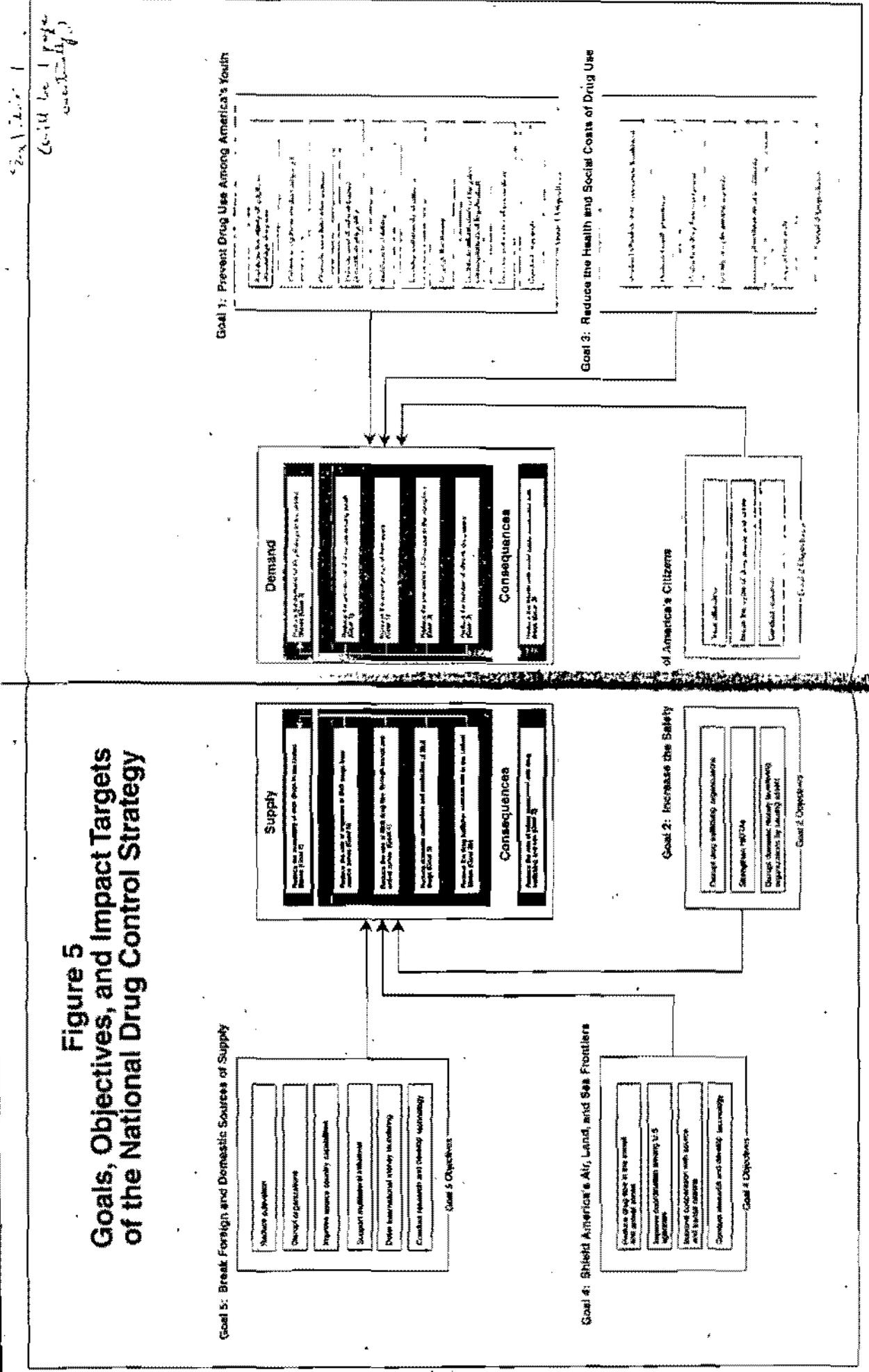
<sup>xii</sup> Acting as catalysts, we would be using logic models and action plans to “focus attention, stimulate debate, keep track of issues, promote interaction, and facilitate consensus.” Henry Mintzberg *The Rise and Fall of Strategic Planning* (The Free Press, New York, 1994)

<sup>xiii</sup> *Performance Measures of Effectiveness: Implementation and Findings*, Chapter IV “Broadening the Base” discusses these options.

<sup>xiv</sup> Leadership is defined here as taking a firm, possibly unpopular, position and actively seeking a majority.

<sup>xv</sup> Carnevale and Murphy paper

**Figure 5**  
**Goals, Objectives, and Impact Targets**  
**of the National Drug Control Strategy**



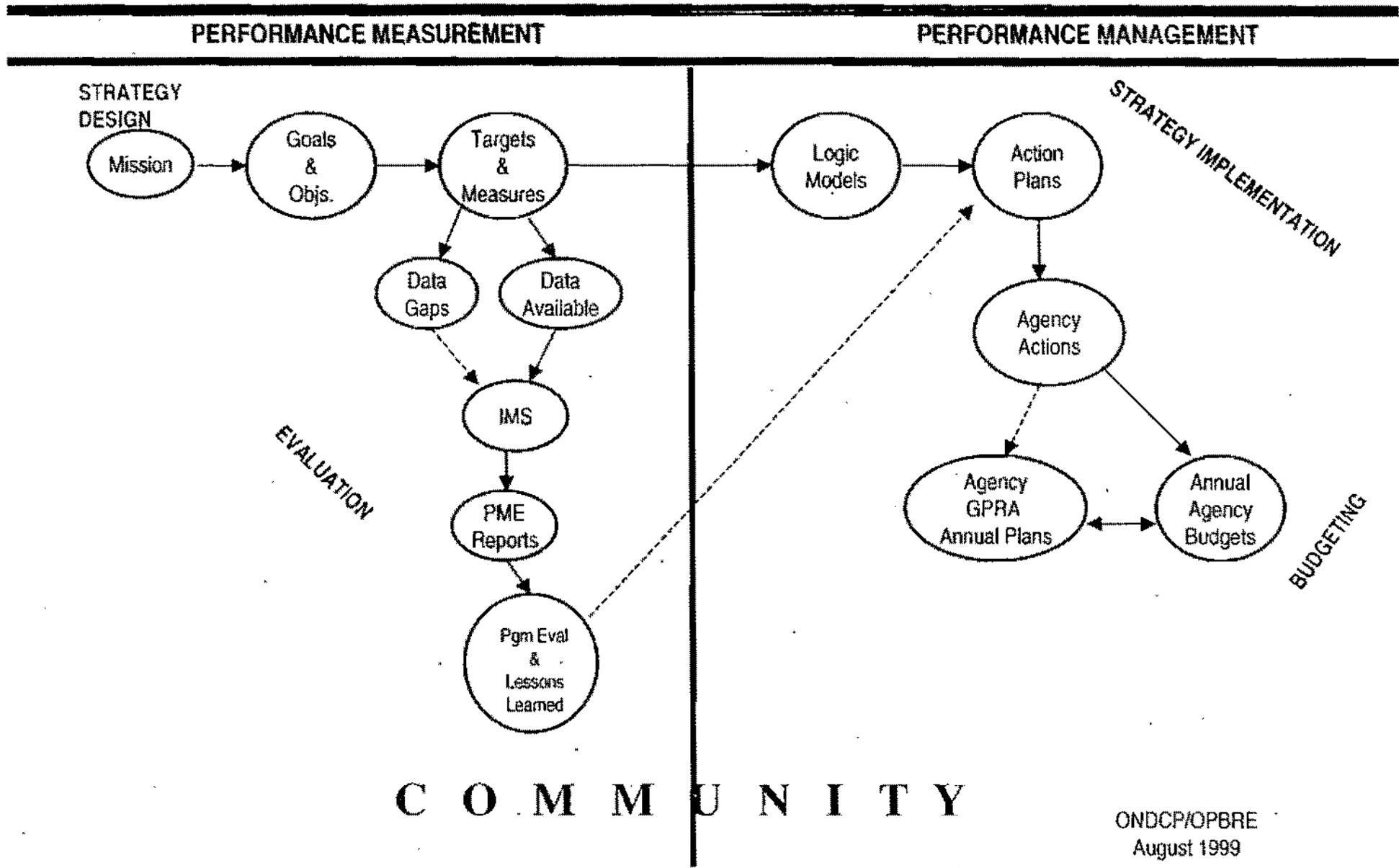
# 12 Key Drug Strategy Impact Targets

## Exhibit 2

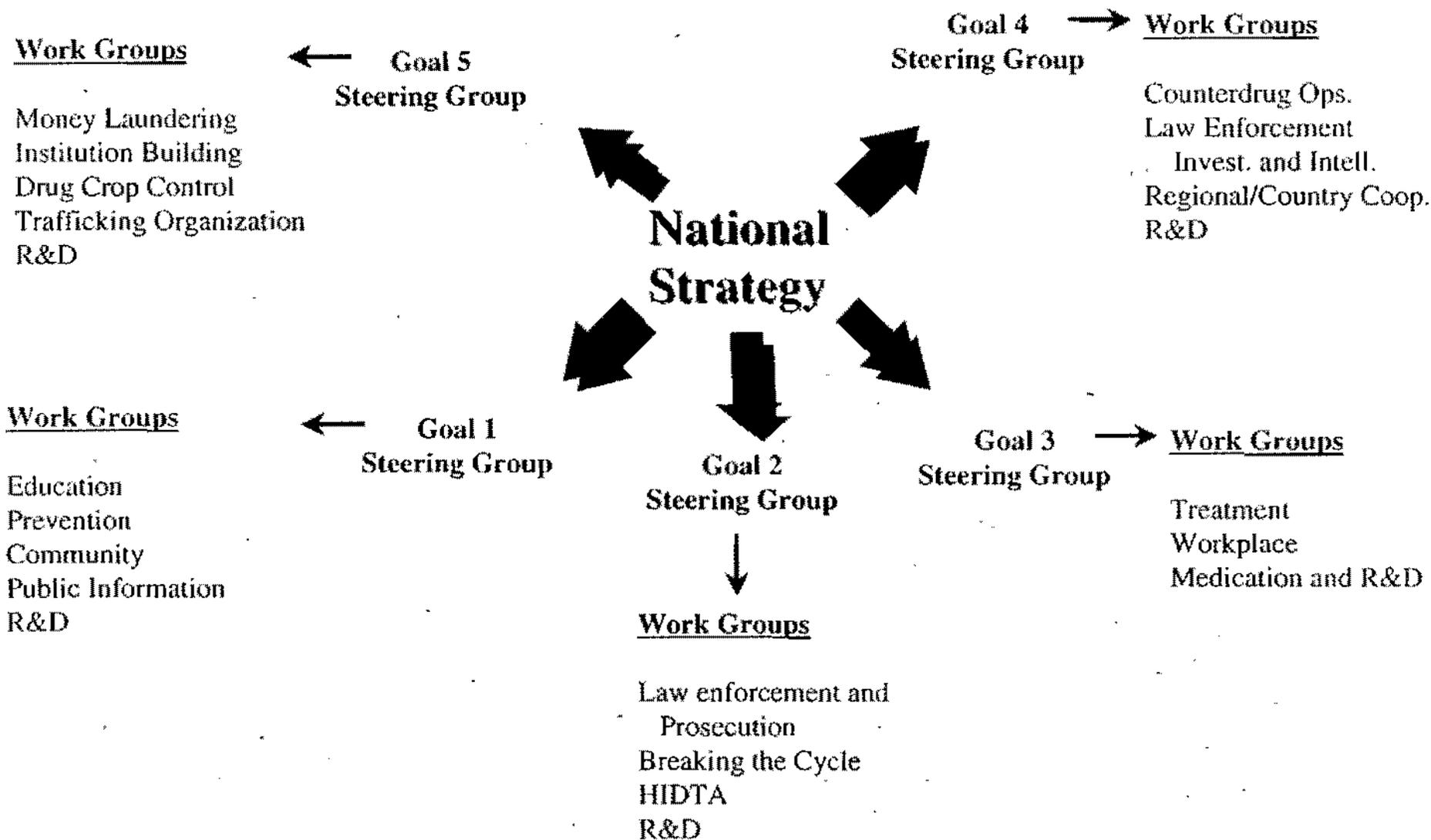
	Supply	Demand	
25% by 2002 50% by 2007	Reduce availability of illicit drugs in the United States (Goal 2)	Reduce the demand of illicit drugs in the United States (Goal 3)	25% by 2002 50% by 2007
15% by 2002 30% by 2007	Reduce the rate of shipment of illicit drugs from source zones (Goal 5)	Reduce the prevalence of drug use among youth (Goal 1)	25% by 2002 50% by 2007
10% by 2002 20% by 2007	Reduce the drug trafficker success rate in the transit and arrival zones (Goal 4)	Increase the average age of new users (Goal 1)	12 Months by 2002 36 Months by 2007
20% by 2002 50% by 2007	Reduce domestic cultivation and production of illicit drugs (Goal 5).	Reduce the prevalence of drug use in the workplace (Goal 3)	25% by 2002 50% by 2007
10% by 2002 20% by 2007	Reduce the trafficker success rate in the U.S. (Goal 2)	Reduce the number of chronic drug users (Goal 3)	25% by 2002 50% by 2007
	<b>Consequences</b>		
15% by 2002 30% by 2007	Reduce the rate of crime associated with drug trafficking and use (Goal 2)	Reduce the health and social costs associated with drugs (Goal 3)	-10% by 2002 25% by 2007

# FROM MEASUREMENT TO MANAGEMENT

## Exhibit 3



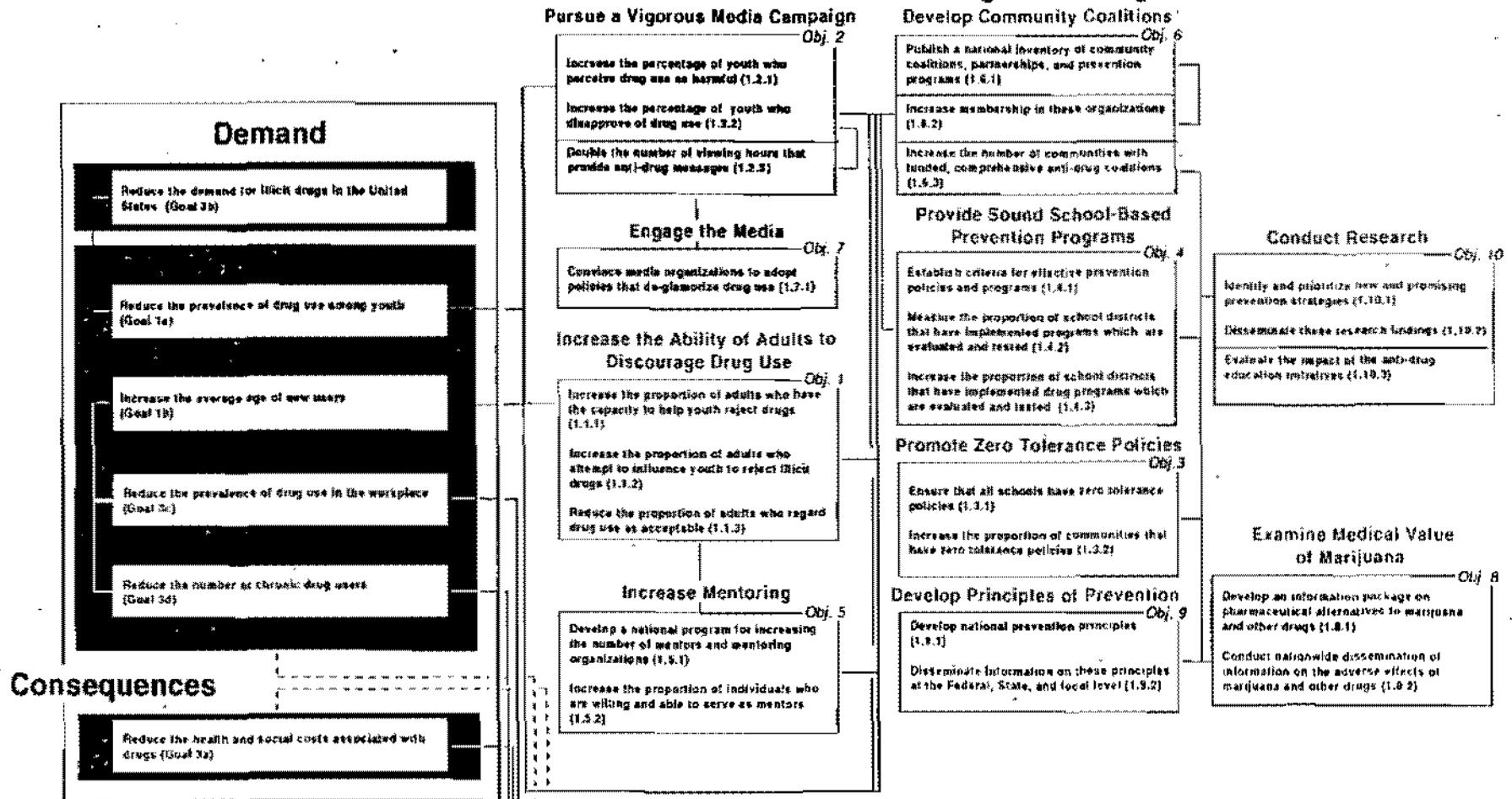
# ONDCP Interagency Process - Exhibit 4





# Relationships Among Prevention Targets of the National Drug Control Strategy- Exhibit 6

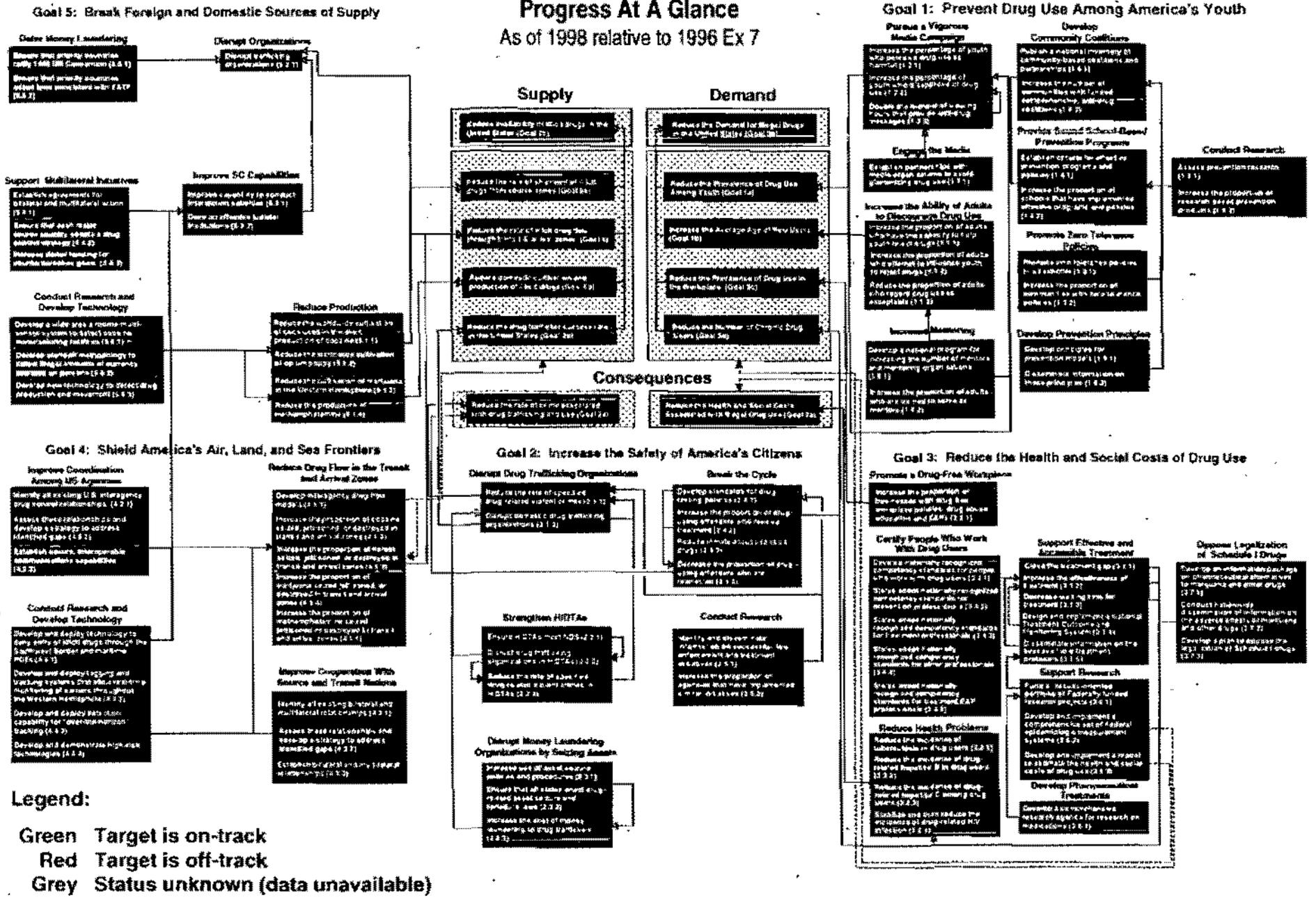
## Goal 1: Prevent Drug Use Among America's Youth



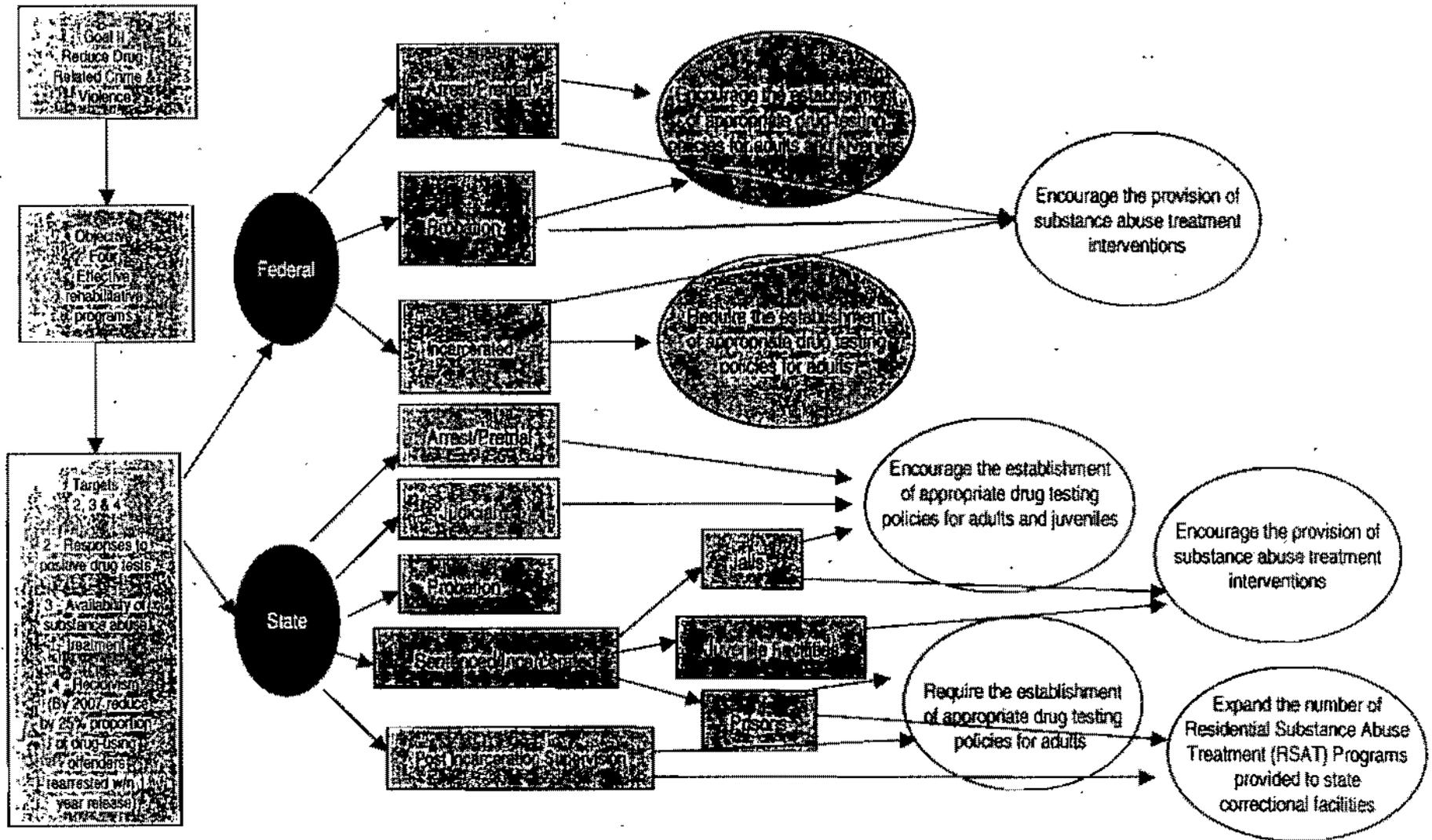
# The National Drug Control Strategy

## Progress At A Glance

As of 1998 relative to 1996 Ex 7



# Logic Model for Goal II, Obj. 4, Targets 2, 3, and 4 - Exhibit 8



# Goal 2, Obj. 4, Targets 2, 3 & 4

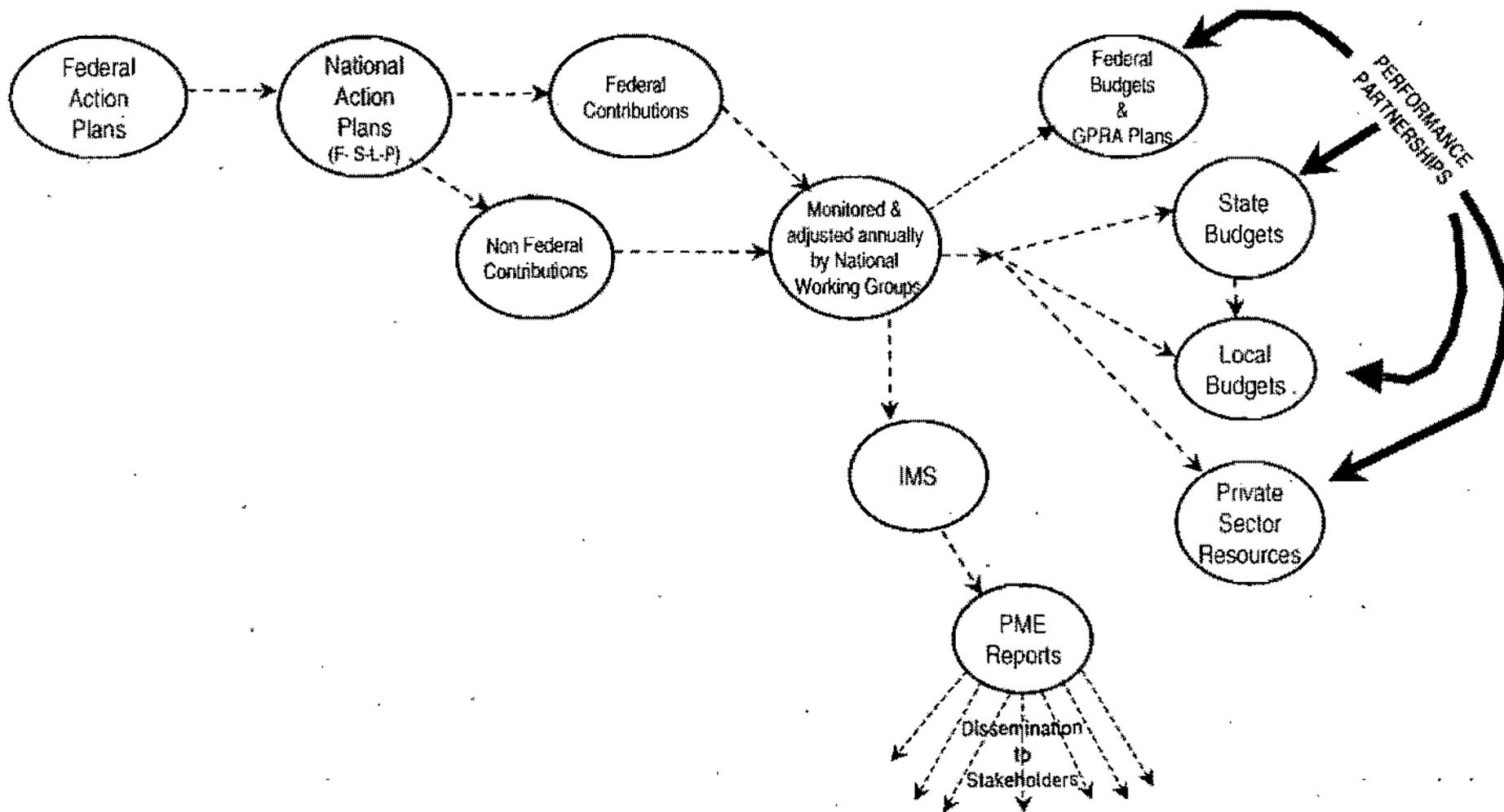
## Action Plan - Exhibit 9

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**TARGETS: 2. Responses to positive drug tests: 3. Availability of treatment: 4. Recidivism re drug using offenders.**

Action	Responsible Agency/Organization (Existing Programs)	Time Frame for Completion (Existing Programs)	Responsible Agency/Organization (New Programs)	Time Frame for Completion (New Programs)
ACTIVITY A Encourage establishment of drug testing policies.				
ACTIVITY A1 Encourage provision of substance abuse treatment interventions.				
ACTIVITY A3 Require establishment of drug testing policies for incarcerated adults.				

# Nationalizing the PME- Exhibit 10



## **LOGIC MODELS: A SYSTEMS TOOL FOR PERFORMANCE MANAGEMENT**

by

**Annie Millar, Ronald S. Simeone, and John T. Carnevale \***

Logic models have been around in one form or another for many years<sup>1</sup>. Planning a course of action, such as managing a program or charting a course of policy, generally implies some sort of logic model. As efforts to improve management have proliferated, these implicit structures have increasingly been made explicit for discussion and challenge. Gantt charts and Critical Paths have graphically depicted Action Plans based on logic models that chart progress from start to finish of a project.

For the last twenty years, logic models have been used largely in program evaluations to chart out what should have happened and what did or did not occur as intended. These logic models start with the inputs of the program being evaluated and work their way through the processes to end with the desired end state, whether output or outcome. These modeling efforts are usually undertaken by evaluation specialists with some input from policy/planning staff and program managers.<sup>2</sup>

Recent efforts to re-engineer and re-invent programs and agencies have resulted in organizational and program logic models being developed in an effort to identify "critical" or "core" processes that drive the train. These efforts are generally carried out by headquarters staff with some line manager involvement.

The national and international drive towards accountability, fueled by the Government Performance and Results Act (GPRA) and related initiatives, has intensified this focus on examining the "black box" between inputs and outcomes as agencies scramble to justify their strategies for achieving identified end results.

The increased emphasis on governmental accountability requires program managers and executives to become more aware of how program activities bring about desired outcomes. After all, the legislative and executive mandates for increased accountability are intended, not merely to account for government expenditures, but to enable improved performance. To this end, it becomes imperative for managers to ask, not only what the desired end states or outcomes are, but also how "best" to get there. To do this, one needs logic models.

Little exists in the literature that tells managers how to develop and use logic models for management purposes. The material is abstract or buried in evaluation literature. This paper seeks to provide managers with specific guidance on developing and using logic models. It is based largely but not wholly<sup>3</sup> on the experience of the Office of National

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\*Dr. Millar is Chief of Evaluation at ONDCP; Dr. Simeone, President of Simeone and Associates, is consultant to ONDCP; and Dr. Carnevale, former Director of The Office of Programs, Budget, Research, and Evaluation, is President of Carnevale Associates, L.L.C.

Drug Control Policy (ONDCP), the White House office responsible for coordinating drug control agencies in order to fulfill its mission of reducing drug use, availability, and consequences.

### **Understanding Logic Models**

Logic Models are word or pictorial depictions of real-life events/processes that depict graphically the underlying assumptions or bases upon which the undertaking of one activity is expected to lead to the occurrence of another activity or event. It involves "modeling or simulating" real-life in such a way that the fundamental "logic" becomes apparent. Logic models show causal relationships as they relate to one another - a systems approach to portraying the path towards a desired reality.

Although various types of logic models exist, we are interested in those that relate to government programs and their desired end results. We examine logic models from the perspective of government managers seeking to intervene in real-life to bring about desired events such as full employment or prevent undesirable events such as drug use. In other words, we discuss these models within the context of social engineering as manifested by government programs.

From this perspective, logic models consist of causal chains that seek to explain the occurrence or non-occurrence of phenomena through a series of controllable activities. It explains the logic embodied in a program - that doing activity A, activity B, and so forth, will result in products or services that will eventually affect people or problems in a desired manner.

### **Using Logic Models**

Logic Models are useful to any person trying to plan, manage, account for, audit, evaluate, or explain the connections between what a program (or agency or set of agencies) requests in terms of resources and what it seeks to accomplish. For instance, a program may use its funds and resources in terms of personnel and dollars (inputs) to provide services that seek to reduce highway accidents. What the program does (activities/processes) may be to lobby with states to pass seat-belt laws, monitor automobile manufacturers' tests, etc. What it produces (outputs) may be laws, educational brochures, public service announcements, etc. What it seeks to accomplish (outcomes) is reduction in highway accidents as defined by fatalities, costs of injuries and other outcome measures. The logic model seeks to identify the intervening steps between using the resources, achieving the outputs, and accomplishing the desired ends. Logic models generally depict the logical series of events from program intervention to program outcomes.

Exhibit 1: "Example Logic Models for Four Programs of Southside Children's Agency"

outputs to outcomes that allows a fuller understanding of agency performance. For instance, logic models explain why outputs are likely to be the only possible result for some time before intermediate outcomes and eventually, end outcomes, can be achieved.

- Most importantly, they enable a critical examination of program and policy logic, a deliberate discussion of "out-of-the-box" ideas beyond the status quo.
- Logic models are a vital tool in facilitating communication between programs and stakeholders with respect to identifying targets, performance measures, and strategies.
- For the authors, logic models proved invaluable in focusing disparate participants on a common performance target for which they were jointly accountable, an analytical tool with which to forge some degree of political and organizational consensus. This tool eventually became a vehicle for developing a community of stakeholders focused on the desired end-result - a key link in tying budget, community, and evaluation through a strategic planning-community building process.

### **Developing Logic Models**

An endemic problem in performance measurement is the issue of the limited control that managers or agency executives have over complex outcomes that are embodied in many performance targets. Managers generally can control the outputs of their programs, defined as services or products generated by the program(s). Accomplishing complex outcomes such as decreasing drug-related violence is much more difficult, in part because managers of a program or agency have limited control over influences that affect the target. For instance, programs aimed at sending media messages to youth about the dangers of drug use do not control other critical influences, such as faith communities, over youth decisions regarding drugs.

Logic models enable one to identify conceptually the issues that need to be addressed when one seeks such changes. They also facilitate the identification of partners so that Performance Partnerships can be undertaken. To do this we have to reverse the usual manner in which logic models are developed.

Logic models are often developed by asking a series of "why" questions that identify the links between one event and its successor, starting with the inputs. This series of questions may start with asking why the program writes a rule (process), the answer being ...so that a rule is enacted (output). The next question might be why the ruling is enacted...so that industry takes actions to comply (intermediate outcome)...so that water

quality improves (intermediate outcome) ...so that fish and human diseases are reduced (end outcome).<sup>6</sup> This type of logic model is most useful in undertaking program evaluations and in making budget justifications.

Logic models that start with the inputs and work their way to the desired outcomes sometimes reflect a natural tendency to limit one's thinking to existing activities, programs, and research questions. We found that starting with the inputs tended to foster a defense of the status quo. One is less likely to challenge the status quo when one starts with the status quo. To engage in re-invention and out-of-the-box thinking, we must reverse the order for developing the logic model, thereby focusing it on the end-result to be achieved. By starting with the desired end state or target, we were able to ask "what needs to be done?" rather than "what is being done?"

We now examine, as an illustration, how logic models were developed and used in the drug control area.

### ***THE DRUG CONTROL EXAMPLE***

We found logic models to be critically useful for performance management within the framework of joint accountability, that is, in coordinating stakeholders from various Federal drug control agencies to focus on joint outcomes. A few words to put this in context.... The Office of National Drug Control Policy (ONDCP) develops the national Strategy ("The National Drug Control Strategy") in consultation with Federal, state, local, and private sector agencies and stakeholders. This Strategy is the blueprint for the nation on reducing drug use, availability, and its consequences. As mandated by Congress, ONDCP developed in 1998, a system for addressing joint accountability – the Performance Measures of Effectiveness (PME) System. This system focuses on 12 Impact targets and 85 supporting Performance targets. The Impact Targets address end outcomes for the five Strategic Goals (outcomes such as youth drug use, number of chronic drug users, the availability of various drugs, the health and social costs of drug use, etc.) Supporting performance targets reflect the 31 Objectives and range from outputs (such as the number of TV viewing hours) to intermediate outcomes (such as the attitudes of youth towards drugs.) The process of developing this system is described in the forthcoming NAPA case study on the drug control area.<sup>7</sup>

Federal agencies voiced legitimate concerns over being accountable for major societal changes over which they had only partial control. To complicate matters further, many of the programs and services are provided by state, local, and private agencies with funding from a variety of sources. The question was: how were we to focus these agencies on each target. The next question was: how were we to persuade all the players to align their programs so as to achieve the national targets. Note that these questions were generally raised within an atmosphere of heated dissension as each organization and professional discipline (e.g. treatment specialists, law enforcement experts) argued fervently for its

The Logic Models developed by the 21 interagency working groups (over 200 persons from Federal drug control agencies) reflected a spectrum between the often-found all-inclusive "wish-list" and a more select package. We found that the greater the agreement on the conceptual infrastructure, the greater the analytical rigor applied. Where there was little consensus on the best techniques for effecting the change, the logic model and the resultant action plan reflected an "all-but-the-kitchen-sink" approach. Thus, we found more agreement and therefore, rigor, in the treatment area than in the prevention area and more agreement on how best to interdict drugs than how to stop them in the source countries.

Presumably, if targets are not met a critical assessment of the implied linkages will follow. Of course, program evaluation will be necessary to prove/disprove the validity of the linkages in these logic models.

Exhibit 2 is a graphical representation of the process we followed in developing logic models for the targets in the PME System.

#### *Action Plan Process*

These Logic Models led to Action Plans that translated the cognitive exercise of developing logic models into a more pragmatic application - organizing the activities according to the schedule required to meet targets by the specified time. The Action Plans assigned responsibility for the activities identified in the Logic Models.

In order to cull the most important of the activities in the Action Plan, we asked participants to consider:

- What existing programs are *critical* to achieving the target?
- What modifications need to be made to existing programs? How long will it take?
- What new interventions are *critical* to meet the target? Who will be responsible? How long will it take?

This process is depicted in Exhibit 3.

The process of translating the "wishes" of the logic models to the "must-haves" of the Action Plans re-introduced key political and organizational considerations of institution, turf, and resources. In some cases, Action Plans reflected current realities since participants did not want to rock the institutional boat. Participants were often unwilling to accept program responsibility for their agencies without the assurance of funds. In the drug control area, funds have to be requested by the agencies involved, ONDCP's role being limited to persuasion, leverage, and a not-insignificant amount of influence in shaping the federal drug control budget.<sup>8</sup> It is not surprising therefore, that some action plans do not as yet specify the agency responsible or the timeline. This generally

reflected participants' inability or unwillingness to accept responsibility on behalf of their agencies for actions they did not feel confident would be funded.

We expect these Plans to be refined as the process continues. Such refinement should include identification of programs that contribute to each activity and also, performance targets that indicate when an activity is completed or performing successfully – this may take time since assessing the performance of programs is within the purview of individual drug control agencies.

### *Using Logic Models and Action Plans for Managing Performance*

Logic Models and Action Plans can be, at the very least, excellent planning tools that facilitate the development of a Strategic Plan. Criticisms of Federal agency Strategic Plans have focused on the lack of linkages between the operational outputs of programs and the outcomes they are supposed to accomplish. Most agencies apparently listed programs according to Goals and Objectives but without sufficient clarity about the logic involved.<sup>9</sup> Logic Models can graphically indicate the steps involved and the assumptions implied. They can also be useful in charting out various alternative strategies (Action Plans) for achieving the goals.

The full extent of their utility for Performance Management depends on how they are used. We used logic models for two different and related exercises, described in detail in the NAPA drug control case study.

The first was to develop the underpinnings of the Strategy. The impetus for this step was the anxiety of some working groups that could not identify "outcomes" since their "objectives" were output-oriented in wording. By developing logic models, outputs such as the number of research publications or the number of communities with anti-drug coalitions could be linked to intermediate outcomes that finally led to end outcomes such as the extent of chronic drug use. By engaging in this conceptual exercise with interagency working groups, we developed a strategy-level logic model that depicted graphically the analytic underpinnings of the National Drug Control Strategy.

We found this "strategic-level" model to be extremely helpful in discussions with our stakeholders, especially on the Hill. Objections to "mere" output measures dissipated when the linkages between these and the resultant intermediate outcomes and the eventual end outcomes (the 12 Impacts) became clear through the logic model. Discussions thereafter tended to focus on refining the logic model: stakeholders largely approved the general framework. This acceptance by and participation of stakeholders had been much harder to obtain in previous such attempts without the logic model. This logic model will also be helpful in future for calibrating the national strategy as performance results are factored in. We also used this strategic-level logic model to display progress towards the 2007 targets: green boxes for targets for which progress is on track, red boxes where it is not, and gray boxes where data are not yet available.<sup>10</sup>

The most critical use of logic models is, nonetheless, in managing for performance. As we moved from measuring performance to managing performance, that is, towards coordinating fifty-plus Federal agencies to focus on and work cohesively towards results, the logic models and action plans proved to be critical building blocks. The interagency Action Plans became a way to document each agency's contributions towards each common outcome.<sup>11</sup>

The "policy-level" logic model (each one focusing on a national-level target) and the resultant action plan, examples of which may be found in Exhibits 4 and 5 proved to be the key to connecting the four sectors of governance - Strategy, Community, Budget, and Evaluation - in a purposive way. Simeone, Carnevale, and Millar discuss this systems-oriented approach to Performance Management in their paper.<sup>12</sup>

To illustrate this we look more closely at the logic model on reducing recidivism in the correctional area, shown in Exhibit 4. This logic model is particularly useful as it focuses on both state and Federal contributions to meeting the common targets. Contributions from various points in the corrections spectrum are shown (arrest to post-incarceration.) The activities in the ovals reflect the interventions necessary to effect the desired targets. The verb "require" and "encourage" reflect the differences in statutory authority for various functions undertaken by Federal and state agencies. Note that Exhibit 4, being an interagency logic model, the activities are somewhat general. As the Action Plans are refined, these activities will need greater specificity as agency responsibilities and time lines are identified. The level of detail should increase as these activities are included in relevant agency GPRA Plans.

The resultant Action Plan (Exhibit 5) assigns activities to various agencies with a proposed timeline. Actual assignments are not shown since these action plans are viewed as "works in progress" to be monitored and calibrated in response to changes in funding levels, performance, and stakeholder responses. Running the "clearance gauntlet" would subject them to being watered down in order to make them acceptable to institutional interests.

The power of these Logic Models and Action Plans lies in the process they generate - the building of target-focused communities collaborating to find the best way of meeting joint targets. Note that logic models should focus on the targets to be achieved: the specificity of targets forces a more analytic consideration of alternatives. Focusing on objectives, often worded in more general terms, often results in vaguely-worded action plans that mask critical differences in turf and ideology.

We used the Action Plans to generate input into the FY 2000 budget process by asking the interagency working groups to identify initiatives that were "critical" for the timely achievement of targets (see NAPA Case Study on ONDCP for details). These initiatives were included in ONDCP's budget guidance to Federal agencies as recommendations for

their budget guidance. ONDCP then recommended them to OMB and the White House as key initiatives. Thus, HHS' national treatment outcome monitoring system was included in the President's FY 2001 Budget. This process of obtaining budget input from the community through these Action Plans linked the community of Federal stakeholders, the Strategy, and the budget.

### *Next Steps*

As we continue to monitor progress towards the targets and conduct program evaluations, these Action Plans will need to be calibrated, which step will link Evaluation to the planning efforts of the interagency community. Similarly, budget decisions will affect the timetables and responsibilities. There is much work to be done to strengthen these linkages.

Another critical task is to widen the "community" to state, local, and private sector agencies and interest groups. The process of transforming the Action Plans from Federal products to national products has begun, albeit on a small scale. At least one Action Plan has been modified to reflect non-Federal participation and input. The intent is to develop national Action Plans that allow responsibilities to be assigned to various sectors. This process will allow each state/locality to customize the Plans to suit their jurisdiction's needs.

The drug control Logic Models will need further work since the effort to streamline the concept to make it useable for over 200 people resulted in some simplifications. For instance, no linkages were identified between various factors and between various activities. We hope that the search for efficiencies will enable a clearer identification of possibilities for integration and collaborative problem-solving between Federal agencies and between various non-Federal levels. To develop a "critical path" interconnections between factors and activities will be necessary.

We also hope to identify programs and other interventions that contribute to each activity. This will be necessary in order to link the activities and related budgets of each agency to the Action Plans. Individual agencies should thereafter determine program performance levels that will enable the achievement of national targets; this will have to be an iterative effort that is guided by experience.

We also hope to increase the extent of analytical assessment of the linkages. This become more likely as the community is widened to non-Federal participants and resources issues become more problematic. Assessments of the assumptions upon which the linkages are posited are also more likely to happen when targets are not met over a period of time. The models and the analytic questions they raise become the basis for in-depth program evaluations.

## Conclusion

Logic Models have proved invaluable largely for developing consensus between participants with divergent interests. By enabling a structured analysis of how joint targets can be met, these models also showed how to address the issue of "factors outside one's control." They facilitated the development of target-focused action plans that were not pre-determined by budget expectations or program realities. In fact, they model a reality that is Strategy-driven rather than Program- or Budget-driven.

As the community is widened to nationalize this process, more critical questions will be raised. These logic models will then provide a framework for assessing alternative ways of achieving targets. Through national action plans, small communities of stakeholders will be developed that will be responsible for monitoring progress, calibrating the Plans, and communicating with various groups of stakeholders and funding authorities.

Logic Models do not presently identify "external factors" that cannot be manipulated for one reason or another. For instance, HUD has outcomes focusing on poverty for which a key external factor is the state of the economy. While local governments can arguably affect the local economy to a great extent, they cannot control the national economy. Similarly, there are situations where the external factor can be influenced but is subject to constraints based on higher priorities. For instance, the certification of drug-producing countries is influenced not only by drug supply targets but also by other policy issues such as international economics. Nonetheless, in most cases, external factors are subject to some degree of "influence if not control" if one can identify the catalysts and partner with them to meet common targets.

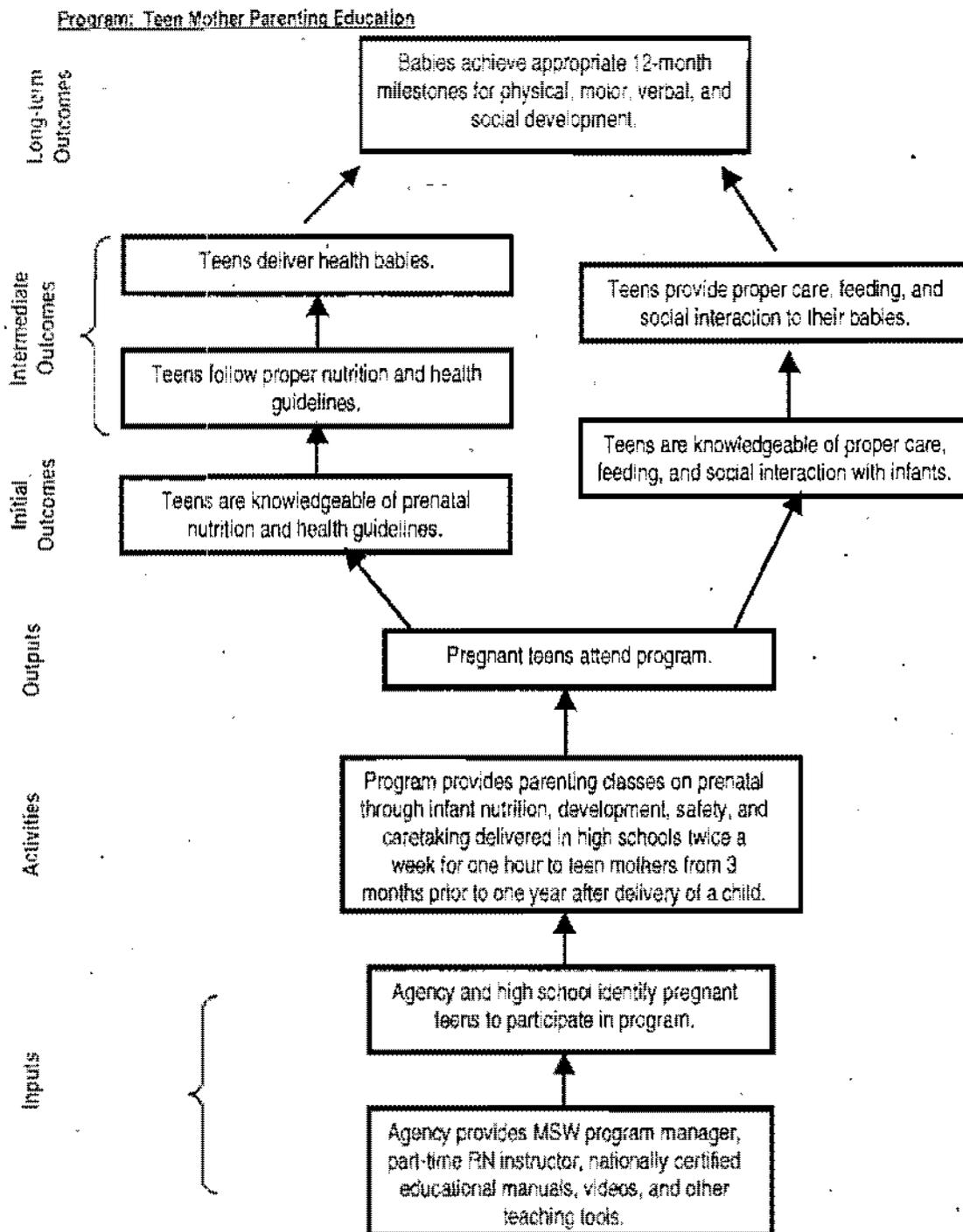
While logic models do not eliminate legitimate differences of opinion regarding policies and programs any more than program evaluation or performance monitoring does away with politics, they do suggest a way to shed some light – target-focused logic – on the heat of politics and turf. Time consuming and iterative, the process of developing logic models and action plans help focus a community to act cohesively on long-term shared goals. They also serve as a key building block for linking the community, the strategy, the evaluation process, and the budget in order to manage for results.

## End Notes

- <sup>1</sup> *Evaluation: Promise and Performance*, Joseph S. Wholey (The Urban Institute, 1979); *Evaluation and Effective Public Management*, (Little-Brown, 1983); also Chapter 2 of *Handbook of Practical Program Evaluation*, Ed. Joseph S. Wholey, Harry P. Hatry, and Kathryn E. Newcomer (Jossey-Bass, 1994)
- <sup>2</sup> *Impact Analysis for Program Evaluation*, Lawrence B. Mohr (Chicago, The Dorsey Press,) discusses at length the use of logic models in the evaluation process.
- <sup>3</sup> One of the authors was involved in developing logic models for the State Department as part of their reinvention efforts.
- <sup>4</sup> *Measuring Program Outcomes: A Practical Approach*, Harry Hatry, Therese van Houten, et. al. (United Way of America, 1996)
- <sup>5</sup> *Performance Measurement*, Harry Hatry (The Urban Institute, 1999), Chapters 5 and 6.
- <sup>6</sup> "Measuring Progress of Estuary Programs: A Manual," Harry P. Hatry, Blaine Liner, and Shelli Rossman, EPA, Office of Water, 842-B-008, November 1994.
- <sup>7</sup> Forthcoming NAPA paper "Performance-Based Management and Public Policy: National Drug Control as a Case Study," Annie Millar, John T. Carnevale, and Ron S. Simeone.
- <sup>8</sup> ONDCP has statutory authority to certify or decertify agency budget requests to OMB according to whether they are adequate to meet the Strategy's requirements for the year. However, such a high-visibility decision would not be without a political price.
- <sup>9</sup> *Managing For Results: Agencies' Annual Performance Plans Can Help Address Strategic Planning Challenges*, GGD-98-44; *Managing for Results - An Agenda To Improve the Usefulness of Agencies' Annual Performance Plans*, GGD/AIMD-98-228; *Managing for Results: Opportunities for Continued Improvements in Agencies' Performance Plans*, GAO/GGD/AIMD-99-215.
- <sup>10</sup> *The Performance Measures of Effectiveness Report 2000*, Office of National Drug Control Policy, Appendix B.
- <sup>11</sup> These coordination issues are also germane within agencies where various organizational units have to be coordinated (aligned) to achieve joint outcomes. Individual programs can use these techniques to increase the degree of control they have over complex outcomes and to partner with other catalysts.
- <sup>12</sup> Ron S. Simeone, John T. Carnevale, and Annie Millar, "A Systems Approach to Performance-Based Management: The National Drug Control Strategy," (unpublished paper under review.)

## Exhibit 1

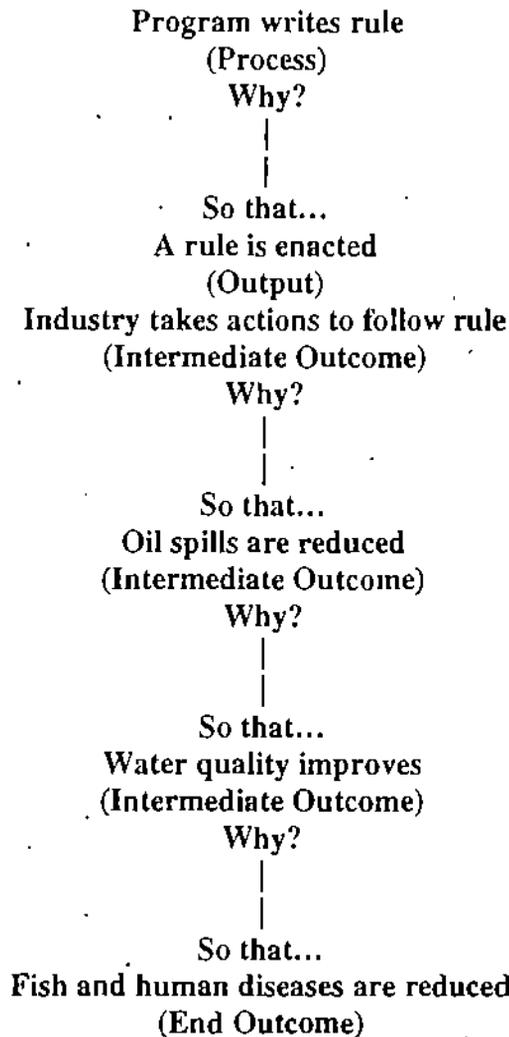
### Example of Logic Models for Four Programs of Southside Children's Agency



## Exhibit 2

### Using the "Why?" Technique to Move From Activities to Outcomes

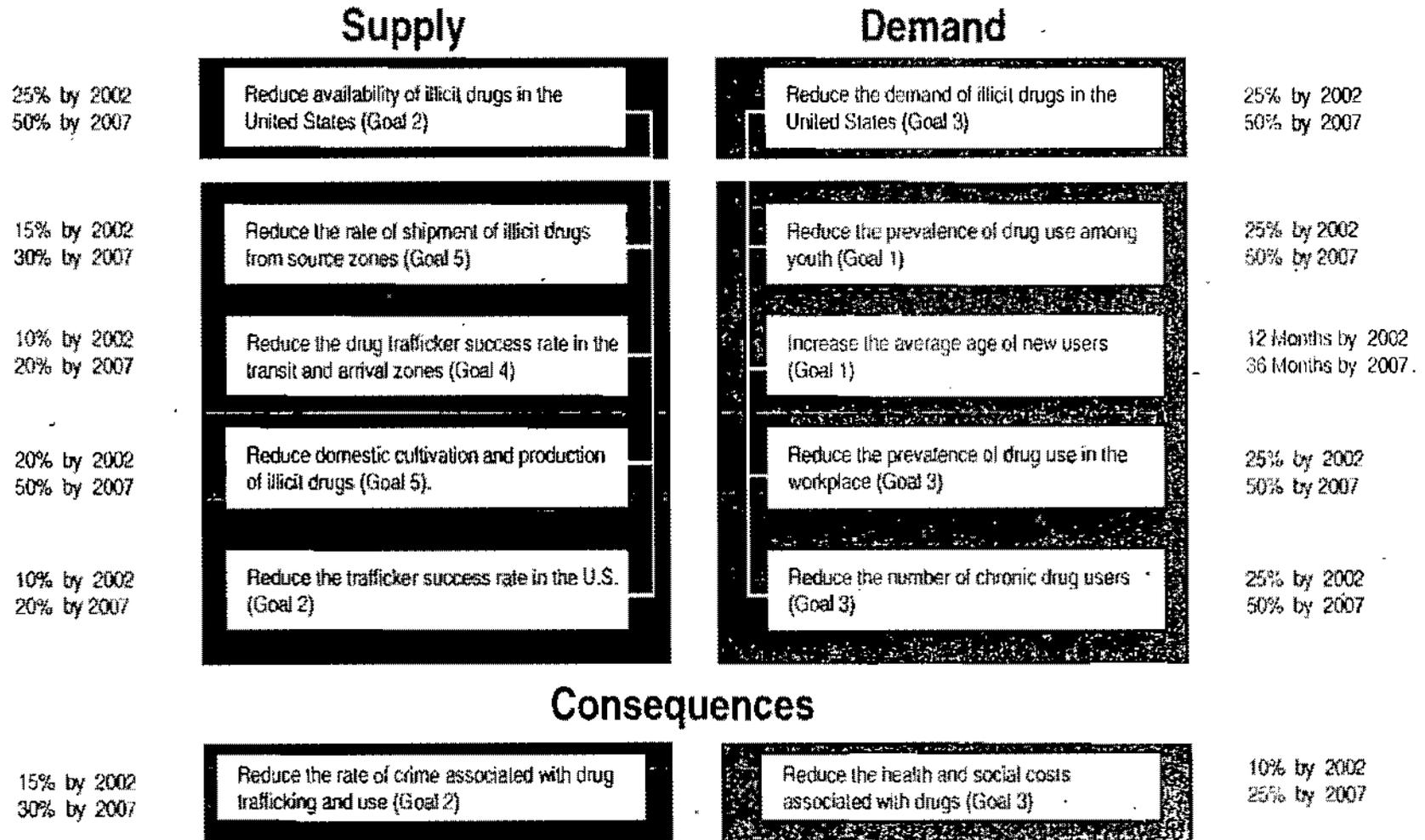
This cause-effect diagram maps out the linkages between process, outputs, and several levels of outcomes by starting with activities and successively answering the question "Why?"



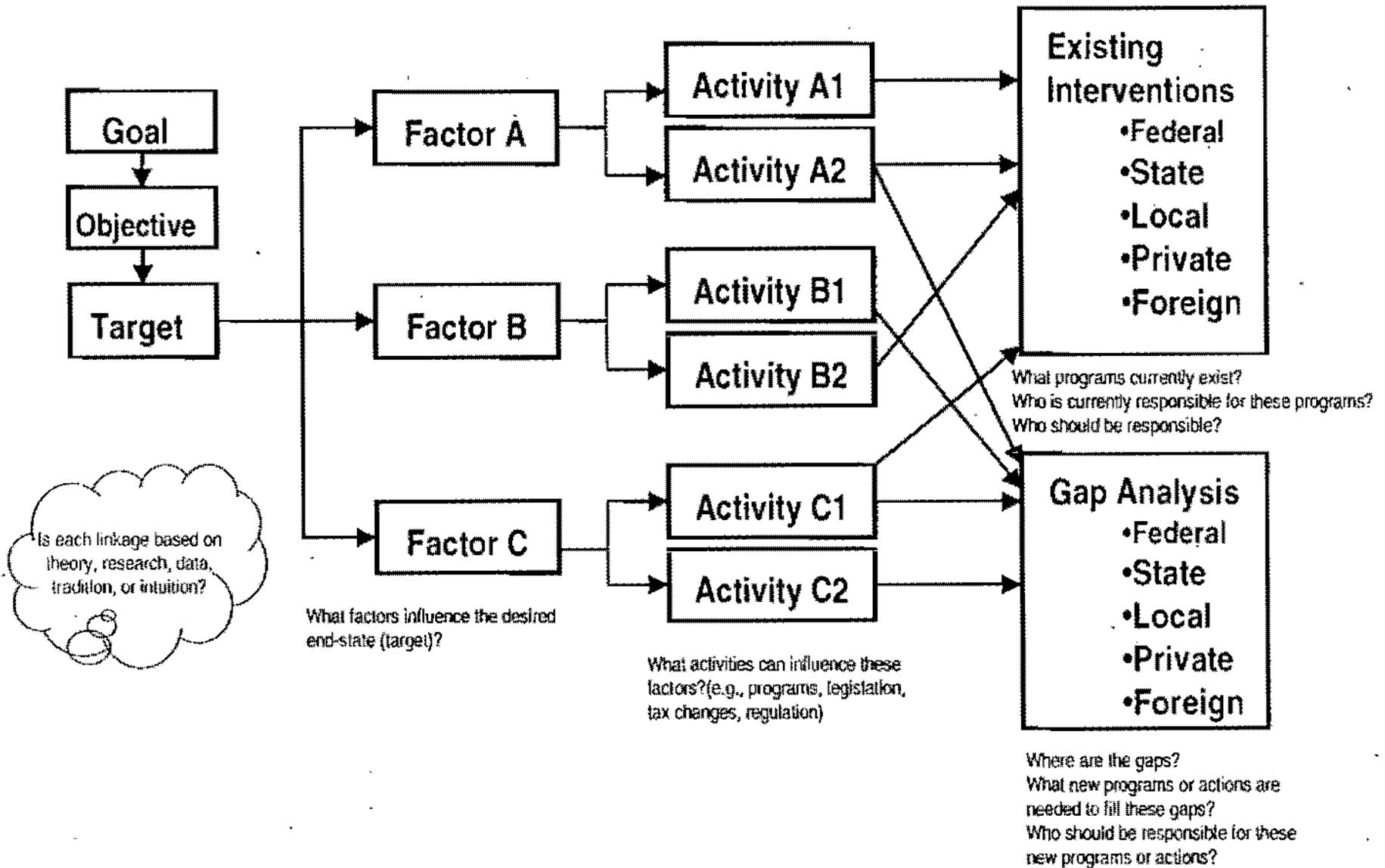
"Measuring Progress of Estuary Programs: A Manual," Harry P. Hatry, Blaine Liner, and Shelli Rossman, EPA, Office of Water, 842-B-008, November 1994.

# 12 Key Drug Strategy Impact Targets

## Exhibit 3



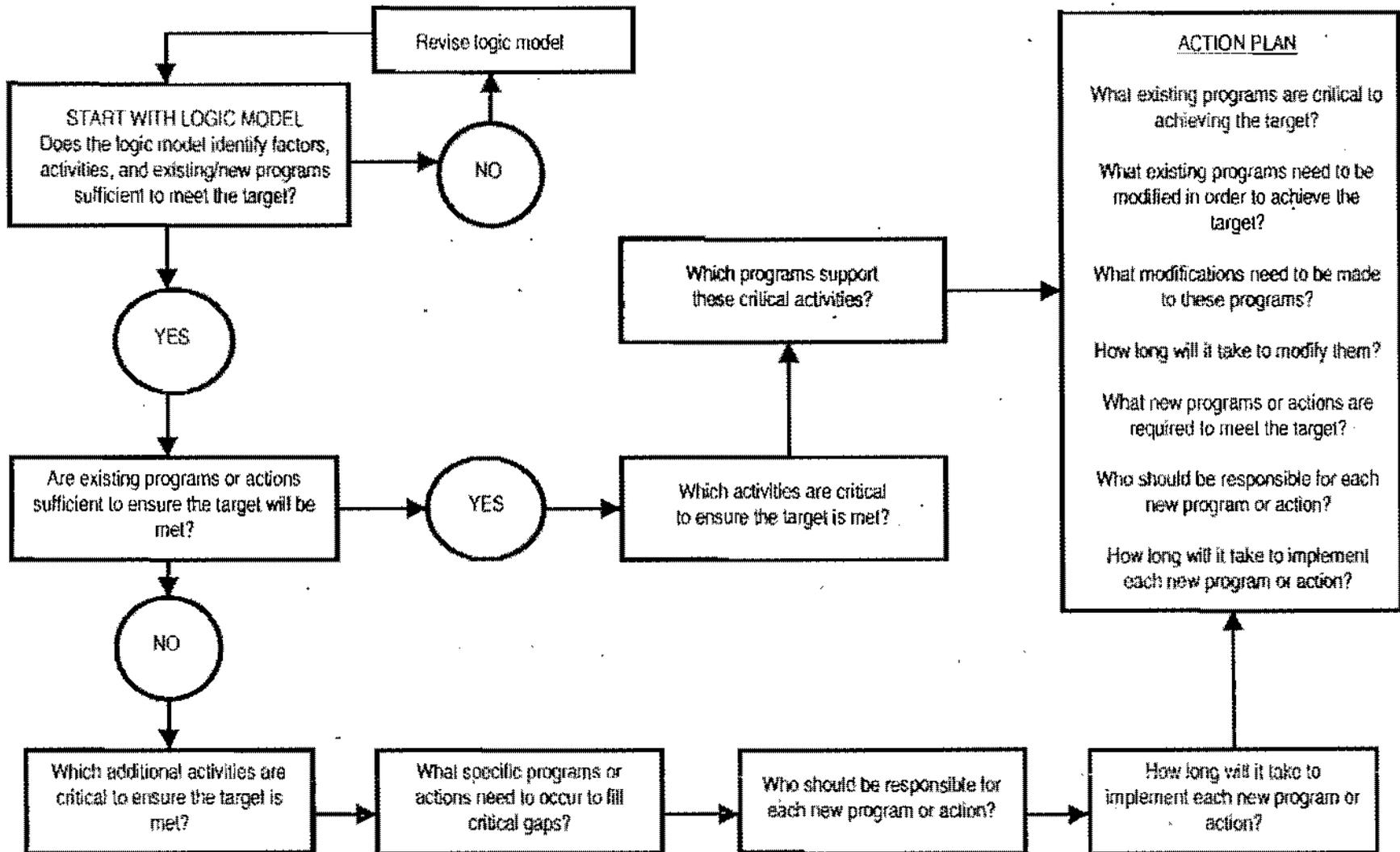
# DEVELOPING A LOGIC MODEL - Exhibit 4



\* Graphics by Colonel Carl Evans, USAF while on detail to ONDCP

ONDCP/OPBRE  
May 2000

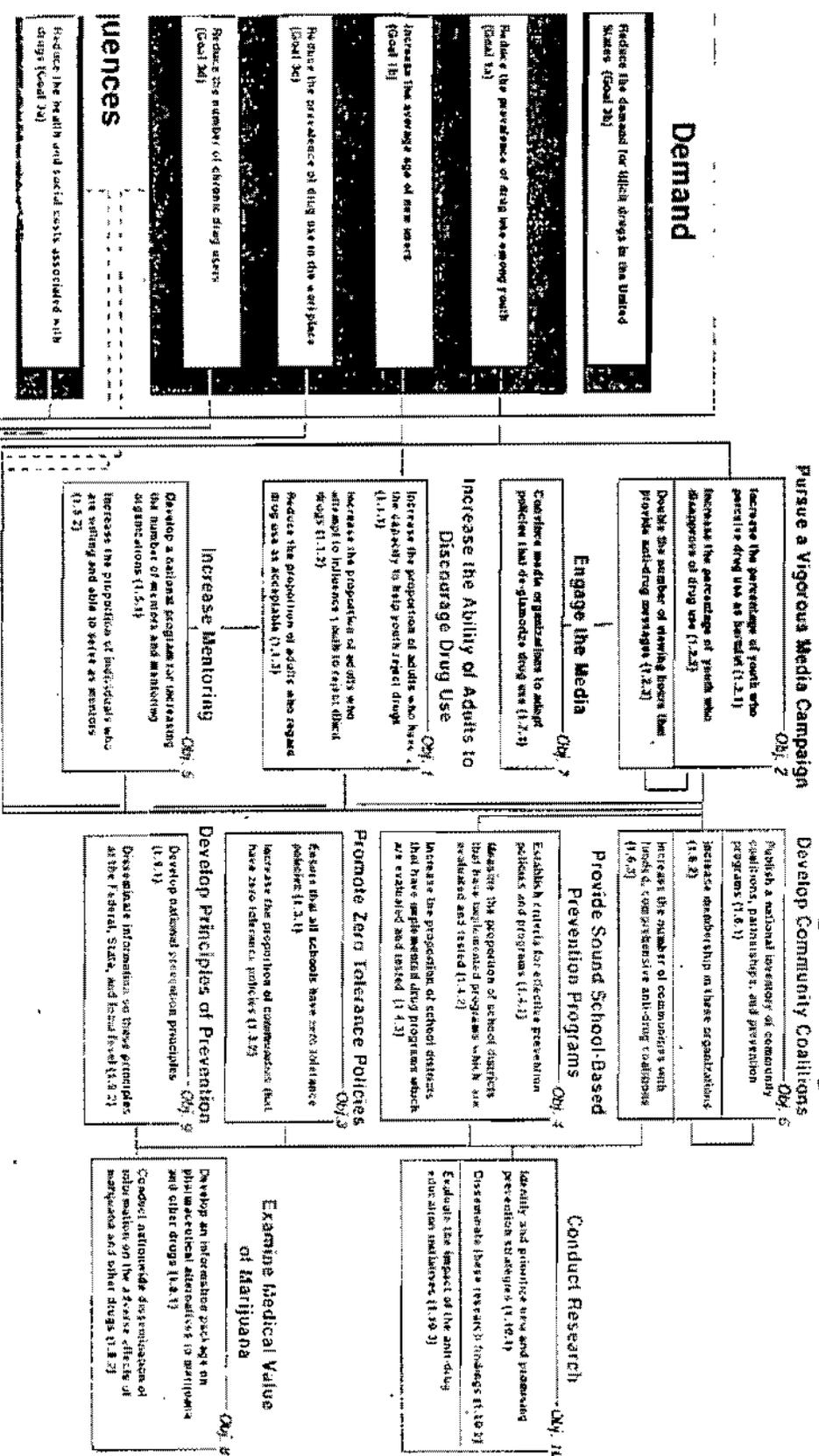
# DEVELOPING AN ACTION PLAN - Exhibit 5



\* Graphics by Colonel Carl Evans, USAF while on detail to ONDCP

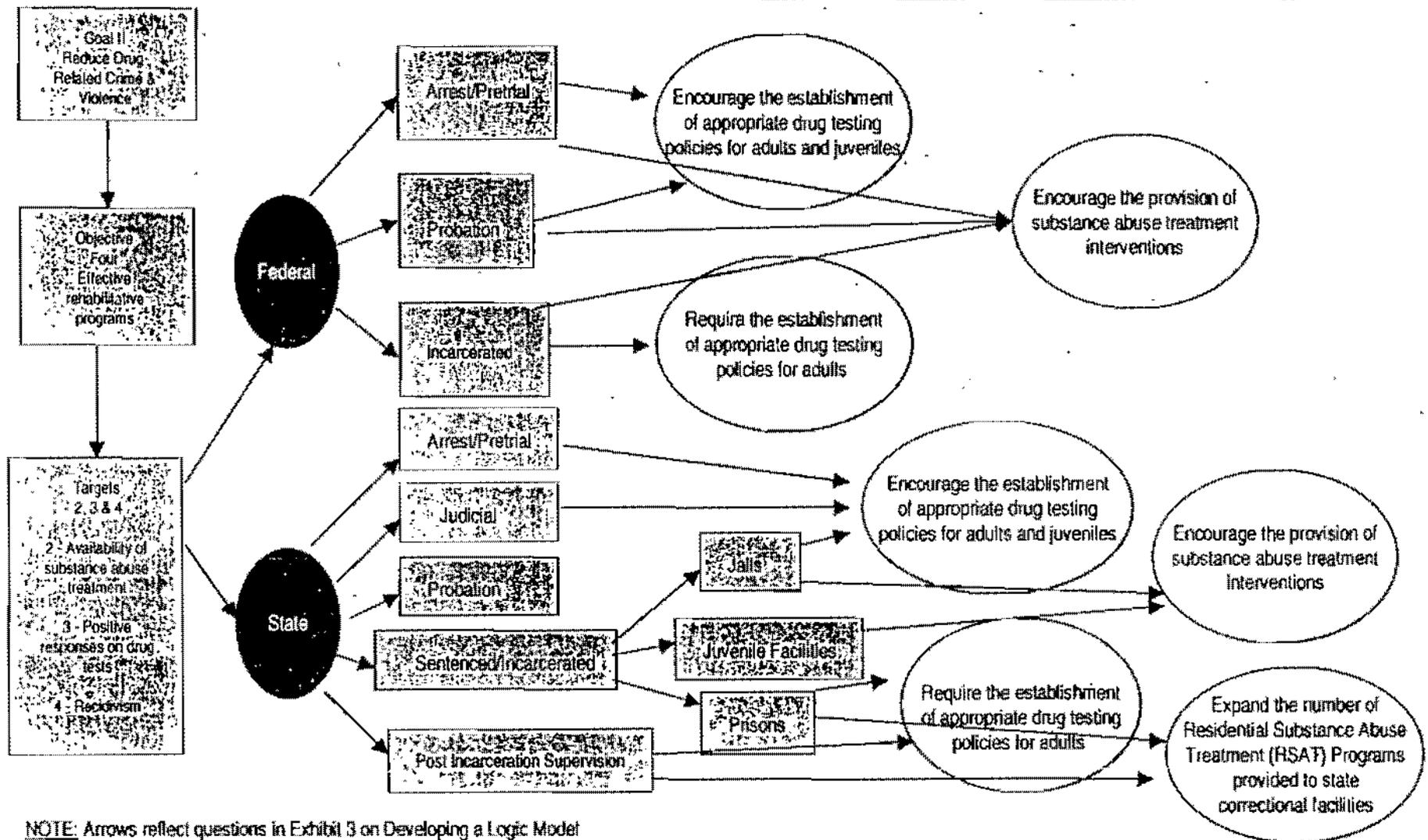
# Relationships Among Prevention Targets of the National Drug Control Strategy - Ex. 6

## Goal 1: Prevent Drug Use Among America's Youth



Numbers in parentheses refer to Goals, Objectives, and Targets

# Logic Model for Goal 2, Obj. 4, Targets 2, 3 & 4 - Exhibit 7



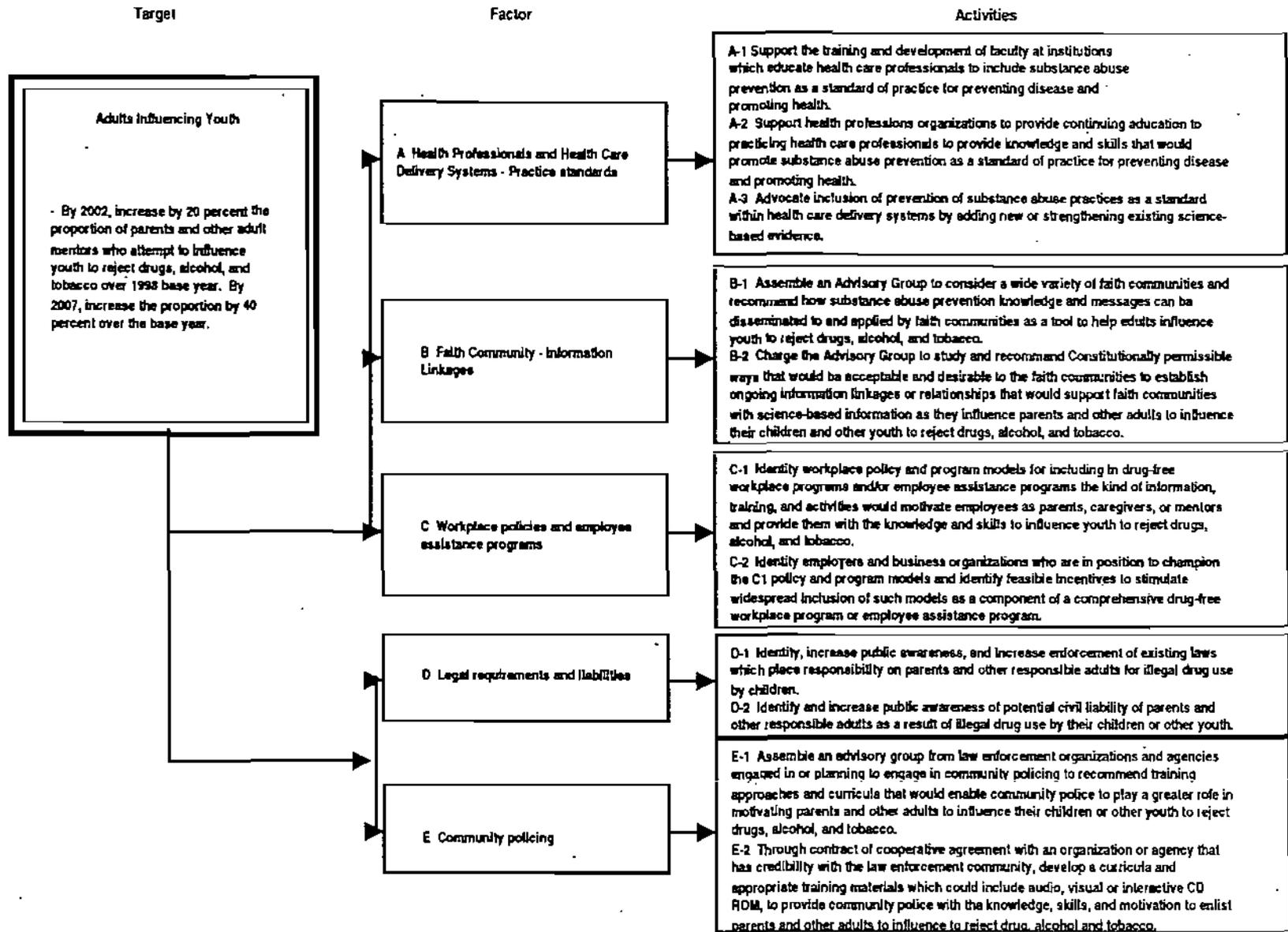
**NOTE:** Arrows reflect questions in Exhibit 3 on Developing a Logic Model  
 Tgt 2 - By 2007, increase proportion of prison & jail inmates provided treatment by 25%.  
 Tgt 3 - By 2007, reduce the proportion of inmates who test positive by 50%.  
 Tgt 4 - By 2007 reduce by 25% proportion of drug-using offenders rearrested w/in 1 year release.

# Goal 2, Obj 4, Targets 2, 3 & 4 Action Plan - Exhibit 8

**TARGETS: 2. Availability of treatment: 3. Positive responses on drug tests: 4. Recidivism re drug using offenders.**

Action	Responsible Agency/Organization (Existing Programs)	Time Frame for Completion (Existing Programs)	Responsible Agency/Organization (New Programs)	Time Frame for Completion (New Programs)
ACTIVITY A Encourage establishment of drug testing policies.				
ACTIVITY A1 Encourage provision of substance abuse treatment interventions.				
ACTIVITY A3 Require establishment of drug testing policies for incarcerated adults.				

# Goal 1; Obj 1; Target 2: "Adults Influencing Youth" Logic Model - Exhibit 9



# Goal 1, Obj 1, Target 2: Adults Influencing Youth

## Action Plan - Exhibit 10

By 2002, increase by 20% the proportion of parents and other adult mentors who attempt to influence youth to reject drugs, alcohol, and tobacco and by 2007, increase the proportion by 40% over the 1998 base year.

Action	Responsible Agency/Organization (Existing Programs)	Time Frame for Completion (Existing Programs)	Responsible Agency/Organization (New Programs)	Time Frame for Completion (New Programs)
<b>FACTOR A</b> Health Professionals and Health Care Delivery Systems -- Practice standards				
<b>ACTIVITY A1</b> Support the training and development of faculty at institutions which educate health care professionals to include substance abuse prevention as a standard of practice for preventing disease and promoting health.		2001		
<b>ACTIVITY A2</b> Support health professions organizations to provide continuing education to practicing health care professionals to provide knowledge and skills that would promote substance abuse prevention as a standard of practice for preventing disease and promoting health.		2000		2001
<b>ACTIVITY A3</b> Advocate inclusion of prevention of substance abuse practices as a standard within health care delivery systems by adding new or strengthening existing standards for credentialing (e.g., NCQA or HEDIS) based on an essay of existing science-based evidence.		ongoing		



EXECUTIVE OFFICE OF THE PRESIDENT  
OFFICE OF NATIONAL DRUG CONTROL POLICY  
Washington, D.C. 20503  
February 25, 1997

10565

*CLS*  
*decision*

ACTION

MEMORANDUM FOR GENERAL MCCARTHY

THROUGH: CHIEF OF STAFF

FROM: JOHN CARNEVALE (Stuart Maberry)

SUBJECT: ONDCP Annual Performance Plan

*051030 Mar 98*

Purpose:

To obtain approval to send attached ONDCP Annual Performance Plan to OMB for clearance.

Background:

The Government Performance and Results Act of 1993 (a.k.a. "The Results Act") requires ONDCP and other federal agencies to submit an Annual Performance Plan to Congress. The Annual Performance Plan provides direct linkage between the strategic goals outlined in ONDCP's Strategic Plan and what managers and employees do day-to-day. In essence, this plan contains the annual performance targets ONDCP will use to assess its progress.

Discussion:

The draft has been reviewed twice by Senior Staff. All changes have been incorporated into the document. The next step in the process is to obtain OMB approval to transmit this report to Congress.

Recommendation:

That the Director approve the release of the ONDCP Annual Performance Plan to OMB for clearance.

Approve *[Signature]* Disapprove \_\_\_\_\_  
*3/4*

*2/26/98*  
*[Signature]*

Attachment  
ONDCP Annual Performance Plan

cc: Dep Dir - Dr. Adger      COS - Holton  
OGC - Blanchard      PA - Grizzle  
OLA - Dubee      Strategy - McDonough  
Intel - Marsden      OSR - Brown  
ODR - Schecter      CTAC - Brandenstein  
BSLA - Greenhouse

# Office of National Drug Control Policy: FY 1999 Annual Performance Plan

## PREFACE

In accordance with GPRA requirements, this Annual Performance Plan will accompany the Office of National Drug Control Policy (ONDCP) budget request for FY 1999. This plan makes the connection between the long-term goals outlined in the ONDCP Strategic plan and its day-to-day activities. The Performance Plan states what ONDCP will accomplish during FY 1999 with the funds requested.

## Section I. MISSION STATEMENT

The Anti-Drug Abuse Act of 1988 (P.L. 100-690, as amended) established the ONDCP and charged it with creating a drug-free America. The Violent Crime Control and Law Enforcement Act of 1994 (P.L. 103-322) amended this mission by dropping the "drug-free" requirement and extended it to include reducing the illicit drug trade's consequences. The Office accomplishes its mission by setting national drug control priorities and objectives, which it reports annually in the *National Drug Control Strategy (NDCS)* submitted to Congress. It also prepares a consolidated federal drug control budget and coordinates *NDCS* implementation by all federal agencies responsible for drug control programs. In accordance with the 1994 Crime Control Act, ONDCP also provides budget guidance to federal drug control agencies and evaluates the effectiveness of their efforts.

## Section II. GOALS AND OBJECTIVES

By law, each *NDCS* must identify long-term Goals and measurable Objectives. The *1997 NDCS* and *1998 NDCS* contain five Goals and thirty-two Objectives as a framework for all national drug control efforts. These Goals and Objectives provide guidance to all public and private sector agencies and organizations committed to reducing drug use and its consequences. The 32 supporting Objectives allow for measurable progress and may be modified as counterdrug efforts succeed or new challenges emerge. To ensure long-term stability, the Goals must stay constant. The timely production and dissemination of the *NDCS* will be a key Performance Goal for ONDCP.

The five Goals cover the three elements of ONDCP's mission: reducing demand, availability, and consequences. Goals One and Three (in part) address demand, Goals Four and Five deal with availability, and Goals Two and Three (in part) focus on consequences. Five major activity areas, described in Section III, constitute the means by which the agency seeks to accomplish *NDCS* Goals and Objectives.

*NDCS* Goals, approved by the President, transmitted to Congress, and presented to the American people in February 1997, follow:

**Goal 1.** Educate and enable America's youth to reject illegal drugs, as well as alcohol and tobacco.

**Goal 2.** Increase the safety of America's citizens by substantially reducing drug related crime and violence.

**Goal 3.** Reduce health and social costs of illegal drug use.

**Goal 4.** Shield America's air, land, and sea frontiers from the drug threat

**Goal 5.** Break foreign and domestic drug sources of supply.

The five Goals and 32 Objectives make up a comprehensive, balanced effort encompassing drug prevention, treatment, domestic law enforcement, interdiction, and international programs. The *NDCS* is a long-range plan that can respond to the ever changing parameters of the drug threat. The relationship between the *NDCS*'s five goals and 32 Objectives and ONDCP's four major programs is detailed in Section E.

Appendix A lists supporting Objectives by Goal.

### **Section III. MEANS FOR ACHIEVING GOALS AND OBJECTIVES**

In order to achieve the Goals and Objectives, ONDCP undertakes five main activities:

- develops the *NDCS*, refining it annually to reflect new threats and challenges;
- oversees drug control programs in accordance with *NDCS* Goals and Objectives through leadership, policy direction, and consensus-building;
- assesses progress towards achieving the Goals and Objectives;
- reviews drug control agency budgets and annually develops a consolidated federal drug control budget; and
- directs four major programs: High Intensity Drug Trafficking Areas (HIDTAs), the Counterdrug Technology Assessment Center (CTAC), the Media Campaign, and the Drug-Free Communities Support Program.

These activities are described in detail in ONDCP's FY 1997-2002 Strategic Plan. Each will be addressed in the following pages to include the performance targets for FY 1999, the operational processes to be undertaken, and the means for verification and validation of target achievement.

## **Section IV. PERFORMANCE TARGETS, RESOURCES, ACTIVITIES, & VERIFICATION OF RESULTS**

The key measure of ONDCP's effectiveness in FY 1999 is the extent to which *NDCS* Goals and Objectives are achieved. ONDCP released a report on performance measures for the Strategy, the *Performance Measures of Effectiveness: A System for Assessing the Performance of the National Drug Control Strategy* (PME) with the 1998 *NDCS*. This PME system is designed to (1) assess the effectiveness of the *NDCS*; (2) provide the entire drug control community, including State and local governments, the private sector, and foreign governments with critical information on what needs to be done to refine policy and programmatic direction; and (3) assist with drug program budget management at all levels. The nucleus of the PME system consists of 12 Impact Targets that define desired outcomes or end states for the *NDCS*. The remaining 82 performance targets are proposed to calibrate progress toward the Strategy's 32 Objectives, which are supported by a system of drug control program efforts. ONDCP will, when practicle, develop annual targets in coordination with drug control agencies and representatives of the anti-drug community.

Performance targets and measures for each *NDCS* Goal and Objective have been developed by ONDCP and working groups comprised of representatives from the Department of Defense, the Department of Education, the Department of Justice, the Department of State, Department of Health and Human Services and the Department of Treasury, as well as the other Departments and Agencies responsible for drug control efforts.

The annual targets will include one or more performance target for every *NDCS* objective plus twelve impact targets showing the "end result" of national drug control activities on the five *NDCS* Goals. Although the latter may not change much from year-to-year, the targets for *NDCS* Objectives have greater flexibility and may be adjusted to accommodate emerging changes in the drug threat.

In addition, secondary output and process-oriented targets for each of the five activity areas described earlier are identified in the following sections:

### **A. National Drug Control Strategy**

Since passage of the 1988 Anti-Drug Abuse Act, seven formal versions of the *NDCS* have been drafted, all of which defined the reduction in demand for illegal drugs as a main focus of drug control efforts. In addition, the documents indicated the prevention of drug, alcohol, and tobacco use among youth as the most important goal. The various strategies confirmed that no single approach could rescue the nation from the cycle of drug abuse. A consensus was reached that drug prevention, education, and treatment must be complemented by drug supply reduction abroad, on our borders, and within the U.S. Each strategy also shared the commitment to maintain and enforce anti-drug laws. These

strategies tied policy to an increasingly scientific, research-based body of knowledge.

In 1996, the *Strategy* established five major goals as the basis for a coherent, rational, long-term national effort. Subsequently, ONDCP solicited and received nationwide comments, based on which the number of Objectives was increased from 23 to 32 and published in the 1997 *Strategy*. Accompanying the 1998 *Strategy* will be a report on the proposed system of Performance Measures of Effectiveness (PMEs) (described later) to be submitted to Congress in February 1998. In FY 1999, the *Strategy* will incorporate this system into its program and budget planning. Consultation among stakeholders and publication of the FY 1999 *Strategy* will be the major output here.

ONDCP also submits a Classified Annex to the *Strategy* to Congress on an annual basis; another major output.

## **B. Coordination of NDCS Implementation**

The creation of ONDCP was a timely response to the fragmentation and overlap of the federal government's drug control programs and budgets. ONDCP's "value-added" rests in its coordination of numerous drug control programs in order to make them function together in an integrated manner to achieve the *Strategy's* goals.

ONDCP's oversight responsibilities involve more than 50 federal agencies and Cabinet departments as well as their state and local partner agencies. Coordinating and overseeing such a vast array of federal anti-drug policies and programs involves providing policy guidance to focus the varied activities of these agencies. Such coordination is integral to achieving the *NDCS* Goals and Objectives (Appendix A).

ONDCP plans to undertake coordination through a variety of avenues including, but not limited to, the following:

- ODR Interagency Working Group (IWG) meetings -- U.S./Mexico Bilateral Demand Reduction Conference
- The President's Crime Prevention Council
- The Coordinating Council for Juvenile Justice and Delinquency Prevention
- The Interagency Narcotic Treatment Policy Review Board
- The Annual National Meeting on Coordination of Offender Substance Abuse Treatment Services
- Prevention Through Service Summit
- Interagency working group on media initiatives
- The U.S./Mexico High Level Contact Group on Drug Control, created in March 1996 for drug policy coordination at the highest levels, has produced a threat assessment and drafted a drug policy alliance between the two countries to reduce the impact of drug trafficking in each country. This includes a U.S. Mexico Drug Strategy in FY 1998

followed by measures of effectiveness to assess the success of the alliance. These will fit into the *NDCS* as defined in FY 1998 and FY 1999.

- Counter Narcotics Interagency Working Group for Drug Control Group (CN-IWG) (approximately 10 meetings per year)
- IWG Coordination Group meeting approximately 10 times per year
- Supply Reduction Working Group (SRWG) meeting weekly
- Caribbean Interdiction Working Group (CIWG) meeting approximately 10 times per year
- High Level-Contact Working Group for Drug Control meeting 3 times per year
- Central America Ministerial Conferences meeting 2 times per year
- Caribbean Joint Committee on Law and Justice meeting approximately 6 times per year
- Multilateral Hemispheric Drug Control Conference (one meeting scheduled, more likely to follow)
- HIDTA conferences

### Reports

- National Action Plan Against Heroin
- Semi-annual Pulse Checks.

## C. Measurement

Performance targets are represented by milestones showing progress in developing the national Performance Measures of Effectiveness System. As soon as practical, annual targets will be identified for each Objective, using a first approximation "glide path" to the 2002 and 2007 out year targets. These glide paths will be refined later so that they are more realistic -- this may be based on modeling.

The Information Management System (IMS) will be implemented in FY 1998 with refinements in FY 1999. The IMS is a vehicle for data collection, data processing, and Strategy monitoring. Data provided by the working groups and other sources constitute the foundation of the IMS. The IMS, reflecting the underlying causal model linking *NDCS* Goals and Objectives with the targets identified, will provide a set of automated tools enabling ONDCP to analyze progress towards achieving the targets and conduct program evaluations with the working groups on an as needed basis. About 14 percent of the data will be entered into the IMS in FY 1998: this represents data already available. An additional 23 percent will be entered in FY 1999: this represents data that can be obtained with minor manipulation such as the addition of questions into an existing survey. ONDCP will continue to coordinate the process of developing new data bases (or make consistent, existing state and local databases) as needed. The PME measures lists each data point and the Federal Agencies responsible for reporting performance to ONDCP. A minimum of one Federal Agency, two when there is a shared responsibility, is responsible for reporting on each measure. Additionally, "Supporting Federal Agencies" are listed after the "Reporting Agency" because they assist with data collection and assessment, or

have programs that contribute to achieving the given target.

The first Annual Progress Report on the effectiveness of national drug control efforts will be published in FY 1999. This report will reflect assessments based on the data entered in FY 1998. As additional data is entered, the reports will become more comprehensive and cover more *NDCS* Objectives. A survey will be included in ONDCP's own Annual Report.

## **D. Budget Oversight**

Under ONDCP's budget oversight authority, ONDCP will undertake the process of certification for each drug control agencies budget. This is to certify that each budget submission in 1999 (for FY 2001) is adequate to implement the *NDCS* Goals and Objectives. This certification process, based on comprehensive, coordinated budget guidance issued earlier in the year, will be sufficiently detailed to allow agency and OMB officials to be aware of ONDCP funding priorities over the 5-year budget planning period. The publication of a consolidated National Drug Control Budget, issued concurrently with the FY 1999 Strategy will be the key output.

## **E. ONDCP-Directed Programs**

### **1. HIDTA**

HIDTAs are those regions of the country whose drug trafficking problems have a critical adverse impact on the rest of the country. When considering designating an area as a HIDTA the Director of ONDCP shall consider, along with other criteria the director may deem appropriate:

- the extent to which an area is a center of illegal drug production, manufacturing, importation, or 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 allocation of Federal resources is necessary to respond adequately to drug-related activities in the area.

In designating these areas as HIDTAs, ONDCP seeks to promote effective coordination of local, state, and federal drug law enforcement. The Executive Committee of each HIDTA, composed of 16 representatives from local, state, and federal agencies, reflects this intent.

Since January 1990, the Director has designated counties in the following 17 areas as HIDTAs, each of which faces different threats and employs different strategies: New York/New Jersey, Los Angeles, Miami, Houston, the Southwest Border, Baltimore/Washington, Puerto Rico/U.S. Virgin Islands, Chicago, Atlanta, Philadelphia/Camden, the Rocky Mountains, the Gulf Coast, Lake County (IN), the Midwest, the Pacific Northwest, San Francisco Bay, and South East Michigan. Of the 17 HIDTA's, 7 were designated in 1997. Historically it takes one to one and a half years for a new HIDTA to collect regional data. In addition, counties in three areas are awaiting designation in FY 1998: Central Florida; Kentucky/West Virginia/Tennessee; and Milwaukee

#### Performance Targets:

The national out year targets for 2002 and 2007 are available in the PME report to be released shortly. The ~~FY99~~ targets are consistent with the out year targets described above. *following FY 2000*

- Each HIDTA will meet at least one additional step of the HIDTA Developmental Standards in at least one category
- Each HIDTA will disrupt, dismantle, or render ineffective 5 percent of the targeted drug trafficking organizations identified in its threat assessment
- Each HIDTA will disrupt, dismantle, or render ineffective 5 percent of targeted money laundering organizations
- Each HIDTA will achieve a 5 percent reduction in specified crimes (homicides, robberies, assaults, and crimes against property as reported by FBI UCR)

NOTE: The number of drug trafficking and money laundering organizations vary by HIDTA and will be reported by each HIDTA. Each HIDTA will be tasked to provide baseline data for each target in their yearly budget request beginning July 1998.

#### Resources and Processes:

These partnerships assess regional drug threats, design strategies to combat threats, and develop initiatives to implement the strategies. Process-oriented when first designated, maturing HIDTAs:

- institutionalize teamwork through continuous joint planning and implementation, promote balanced partnerships of local, state, and federal law enforcement agencies,
- coordinate resources for joint interdiction, intelligence, investigation, prosecution activities, and
- reduce duplication and increase synergy through collaboration and collocation of partnership members.

#### Verification/Validation:

- On-site reviews of each HIDTA's compliance with program guidance, fiscal accountability, progress toward achieving performance targets,
- Annual reports detailing accomplishments of targets, and
- External evaluations

In contrast to the performance targets listed for the activities described earlier where occurrence/non-occurrence of the target event (e.g., publication of a Strategy) is sufficient verification, these targets necessitate explicit verification and validation efforts to be undertaken by the HIDTA program.

## 2. CTAC

Congress established the CTAC within ONDCP in 1990 to oversee and coordinate federal counterdrug enforcement research and development activities. Twenty-one federal law enforcement agencies with counterdrug missions participate in the national counterdrug enforcement research and development program. As the central counterdrug enforcement research and development organization of the federal government, CTAC is responsible for identifying and defining the short, medium, and long-term scientific and technological needs of the federal drug enforcement agencies. The CTAC's efforts to identify needs and oversee development activities concentrate on eliminating duplication of effort and identifying gaps in capability which may be filled by advancements in technology. CTAC will publish a ten-year counterdrug technology development plan for the drug control community in February 1998.

In 1993, CTAC's role expanded to include demand reduction activities. The CTAC now works with the National Institute on Drug Abuse (NIDA) to examine addiction and rehabilitation research and to use technology to increase the effectiveness and availability of drug treatment. CTAC and NIDA scientists apply advancements in technology to understand the underlying causes of drug abuse and addiction, as well as their long-term effects in the human brain.

### Performance Targets:

- Conduct three regional workshops and one major technology symposium,
- Coordinate and support 85 counterdrug research programs with Customs, DEA, DoD, Coast Guard, FBI, Agriculture, and NIDA,
- Develop and field five technology prototypes to address counterdrug law enforcement and drug treatment requirements. These prototypes will support improvements to inspection capabilities for trucks and rail cars (2), low cost, efficient communications interoperability (1), surveillance tools (1), and a means to evaluate and monitor substance abuse treatment programs in real time (1).
- Increase by 20%, the rate at which new systems are acquired by federal, state and local

*Always*

*be more specific in the future*

*needs baseline*

agencies.

#### Resources and Processes:

\$16 million is requested for the following processes:

- Non-intrusive inspections
- Tactical technologies
- Demand reduction,
- Technology test, evaluation, and support, and

\$15 million is requested for the following process:

- Transition of technology.

#### Verification/Validation:

- Through assessments of existing technologies and measuring their contribution to the effectiveness and efficiency of user agencies within the framework of the NDCS.
- Resources and processes address different goals and objectives of the *Strategy* and include contributions to outreach conferences and workshops, coordination of federal agency programs, and individual system development efforts. Technical assessments performed on existing systems and emerging technology prototypes will provide information to assist agency decision-makers on which systems can contribute best to operational effectiveness. The workshops and conferences will be used to disseminate technical information on advancements in the state-of-the-art. The extent to which new systems are acquired by federal, state, and local agencies will be used to measure performance.

### **3. MEDIA CAMPAIGN**

Following a 13-year decline in youth substance abuse ending in approximately 1992, youth are abusing drugs at an increasing rate. Between 1980 and 1992, drug use declined 63 percent but has increased 71 percent since 1992. At the same time, anti-drug news and public service messages have declined markedly since 1989 while messages normalizing and glamorizing illicit drug use have proliferated in music, television, the Internet, and other media.

The recent upsurge in pro-drug media messages requires anti-drug retaliation in kind. Children must be made aware of the dangers of drug use. As the University of Michigan's *Monitoring the Future Study* (MTF) makes clear, there is a strong association between declining youth disapproval of illicit drug use and increasing youth drug use. Hence, the White House proposed in the FY 1998 budget, an anti-drug use media campaign to counter media messages/images portraying drug use as acceptable and to increase youth awareness of the high risks associated with illicit drug use.

Because children spend more time watching television than they spend in school, ONDCP will focus on a paid media campaign, including prime-time television ads to convey the consequences of illicit drug use to youth and their parents. Unlike Public Service Announcements, which do not appear in prime-time slots, these paid spots will more effectively communicate the message, by airing while kids and their parents are watching. While the message addresses kids, it also reaches baby-boomer parents who may be ambivalent about sending strong anti-drug messages to their kids. The media campaign will also include other media related non-advertising components such as initiatives involving the entertainment industries, Internet and other vehicles for delivering messages to youth and the people who influence them.

As ONDCP negotiates media time slots, it hopes to see a commensurate level of public service contributions from the media and corporate partners. While the paid campaign will be limited to messages about illicit drugs, the public service component may include a variety of drug-related issues, including mentoring and underage alcohol and tobacco use.

ONDCP's anti-drug youth media campaign strategy has been approved and a detailed campaign strategy is being developed by a contractor and is due to ONDCP in January 1998. Implementation of a nationwide media campaign is expected to begin in April or May 1998.

FY 1999's request for \$195 million represents the first full year of implementation. Outcomes such as changes in youth attitudes and opinion regarding drug use are not likely to be manifested until the program has been operational for at least a couple of years. Meanwhile, ONDCP will use existing surveys such as MTF and the *National Household Survey on Drug Abuse* to obtain baseline data using measures such as awareness, attitudinal and eventually, behavioral, changes. This baseline (pre-program data) will be available in FY 1999. ONDCP will also propose an independent evaluation to produce comparable data in FY 1999 for the initial portion of the campaign.

Performance Targets:

- Ensure target audience exposure to anti-drug advertisements averages four times per week reaching 90 percent of the target audience

Resources and Processes:

- \$195 million budget is required for FY 1999 and subsequent years. This is the estimated frequency needed to change attitudes and influence behavior.

Verification/Validation:

- FY 1999's request for \$195 million represents the first full year of implementation. Outcomes such as changes in youth attitudes and opinion regarding drug use are not likely to be manifested until the program has been operational for at least a couple of years. Meanwhile, ONDCP will use existing surveys such as MTF and the *National*

*Household Survey on Drug Abuse* to obtain baseline data using measures such as awareness, attitudinal and eventually, behavioral, changes. This baseline (pre-program data) will be available in FY 1999. ONDCP will also propose an independent evaluation to produce comparable data in FY 1999 for the initial portion of the campaign.

#### **4. DRUG-FREE COMMUNITIES**

Community coalitions have been at the forefront of efforts to curb this decade's disturbing reversal of youth drug use trends, successfully developing and implementing comprehensive, long-term strategies to reduce youth substance abuse via prevention and treatment. Therefore, in order to reduce substance abuse among today's youth, tomorrow's adults, ONDCP will administer matching grants to community coalitions in accordance with the Drug Free Communities Act of 1997 (P.L. 105-20).

Grantees must demonstrate the ability to bring together representatives from many segments of their communities in a long-term commitment to reduce substance abuse among youth. These coalitions must involve youth, parents, businesses, media, schools, organizations serving youth, law enforcement professionals, religious or fraternal organizations, civic and volunteer groups, health care professionals, government officials with expertise in the field of substance abuse, and if feasible, elected officials. The program will ensure the long-term nature of communities' commitments by granting funds only to those coalitions that are sustainable without federal assistance.

##### **Performance Targets:**

- Measures for the grant program will be to achieve the benchmarks pursuant to the law awarding grants to qualified coalitions, and to ensure a simplified application and reporting process

**NOTE:** Since this process is new, only process measures will be available.

##### **Resources and Processes:**

- Develop criteria to determine focus of the program, make recommendations regarding scope of programs, and sets forth guidelines for operation
- Distribute \$20 million in FY 1999 to community coalitions who have demonstrated an ability to develop long term strategies to reduce substance abuse on a sustained basis
- Provide training and technical experience tailored to provide coalitions with information useful in reducing drug use in their communities through regional workshops, existing district offices, the Internet and satellite video links

##### **Verification/Validation:**

- Success in granting the \$20 million to qualified coalitions through a system that is user friendly
- Ability to provide funds to qualified coalitions within three months of the initial request

## Resources

The FY 1999 budget for ONDCP provides the President's primary Executive branch 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 drug programs within the federal agencies and departments.

For FY 1999 ONDCP is requesting budget authority of \$449.4 million. The FY 1999 request includes three program areas: the Salaries and Expenses program; Special Forfeiture Fund and the HIDTA program.

The budget request of \$36.4 million for Salaries and Expenses includes \$19.4 million for operational expenses; \$16 million for CTAC; and \$1 million for ONDCP's Policy Research. The operational request includes resources to support 154 positions (124 FTE and 30 detailees) in order to permit ONDCP to fully implement its statutory responsibilities. This level of staff will enable ONDCP to effectively assess and respond to the drug threat facing the nation. ONDCP will be able to monitor agency implementation of the *NDCS* programs, and improve interagency coordination. Additionally, ONDCP will be able to carry out the Congressional mandate to evaluate and identify programs that work.

The \$16 million request for CTAC includes Research and Development (R&D) activities. CTAC organized the national counterdrug R&D program according to four technology thrusts related to the objectives and goals of the Strategy: nonintrusive inspection, tactical technologies, wide area surveillance, and demand reduction. The national laboratories, private industry, and academia are the sources for the expertise needed for technology development efforts and have performed the research within the R&D program. Standard and centralized test and evaluation activities performed under CTAC sponsorship are used to validate expected system performance and assist in rapid transfer of successful technology to the end-users.

The request of \$1 million for policy research includes research to inform of the policy process, 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. ONDCP is working on the following projects: Pulse Check; Retail Value of Drugs Sold in the U.S.; Drug Market Analysis; Chronic User Survey; Illicit Drug Prices; Policy

Studies/Briefs; and, Juvenile Drug and Violent Crime Study.

The Special Forfeiture Fund budget request of \$251 million includes \$195 million for the National Media Campaign; \$20 million for the Drug-Free Communities Program; \$10 million for the Chronic User Study; and \$26 million discretionary funding for the Director of ONDCP to use to address emerging drug threats.

ONDCP's request for the Media Campaign is \$195 million. ONDCP will continue the initiative begun in FY 1998 that uses paid media messages to change youth attitudes about drug use and its consequences. Targeted, high impact, paid media ads -- at both the national and local levels -- are the most cost effective, quickest means of changing drug use behavior through changes in adolescent perceptions of the danger and social disapproval of drugs.

ONDCP's request for the Drug-Free Communities Program is \$20 million. This program would match grants to drug-free communities, with six percent of the amount requested to pay for administrative costs, as authorized in the Drug-Free Communities Act. This program will serve as a catalyst for increased citizen participation in our efforts to reduce substance abuse among our youth and provide community anti-drug coalitions with much needed funds to carry out their important missions.

ONDCP's request for the Chronic User Study is \$10 million. Statistically, chronic drug use is a rare event, which poses serious problems for standard sampling techniques. ONDCP conducted a special study to develop a new methodology to estimate the chronic, drug using population that overcomes the problems of standard statistical sampling techniques. The results from this study demonstrate the efficacy of the new estimating methodology. This initiative will support a two-year study to include more areas of the United States. This study will support a future national application which will provide a means to track changes in the size and composition of this user population. One immediate benefit will be to support the Strategy's Performance Measurement System.

The HIDTAs budget request of \$162.0 million is for continued support of existing HIDTAs and the three awaiting designation. The HIDTAs have developed unique strategy-driven teamwork. Local, state, and Federal law enforcement agencies have invested in joint systems which horizontally integrate other drug control programs. Each HIDTA coordinates its teamwork through participating local, state, and Federal officials who develop a joint threat assessment, a strategy which addresses the threat, initiatives which implement the strategy, and annual reports which reflect the impact on the threat.

## **APPENDIX A:**

### **1997 NDCS GOALS AND OBJECTIVES**

**GOAL 1: EDUCATE AND ENABLE AMERICA'S YOUTH TO REJECT ILLEGAL DRUGS AS WELL AS THE USE OF ALCOHOL AND TOBACCO**

**OBJECTIVE 1:** Educate parents or other care givers, teachers, coaches, clergy, health professionals, and business and community leaders to help youth reject illegal drugs and underage alcohol and tobacco use.

**OBJECTIVE 2:** Pursue a vigorous advertising and public communications program dealing with the dangers of drug, alcohol, and tobacco use by youth.

**OBJECTIVE 3:** Promote zero tolerance policies for the use of illegal drugs, alcohol, and tobacco use by youth within the family, school, workplace, and community.

**OBJECTIVE 4:** Provide students in grades K-12 with drug alcohol, and tobacco, prevention programs and policies that have been evaluated and tested and are based on sound practices and procedures.

**OBJECTIVE 5:** Support parents and adult mentors in encouraging youth to engage in positive, healthy lifestyles and modeling behavior to be emulated by young people.

**OBJECTIVE 6:** Encourage and assist the development of community coalitions and programs in preventing drug abuse and underage alcohol and tobacco use.

**OBJECTIVE 7:** Create a partnership with the media, entertainment industry, and professional sports organizations to avoid the glamorization of illegal drugs and the use of alcohol and tobacco.

**OBJECTIVE 8:** Support and disseminate scientific research and data on the consequences of legalizing drugs.

**OBJECTIVE 9:** Develop and implement a set of principles upon which prevention programming can be based.

**OBJECTIVE 10:** Support and highlight research, including the development of scientific information to inform drug, alcohol, and tobacco prevention programs targeting young Americans.

**GOAL 2: INCREASE THE SAFETY OF AMERICA'S CITIZENS BY SUBSTANTIALLY REDUCING DRUG-RELATED CRIME AND VIOLENCE**

**OBJECTIVE 1:** Strengthen law enforcement--including federal, state, and local drug task forces to combat drug-related violence, disrupt criminal organizations, and arrest the leaders of illegal drug syndicates.

OBJECTIVE 2: Improve the ability of High Intensity Drug Trafficking Areas (HIDTA) to counter drug trafficking.

OBJECTIVE 3: Help law enforcement to disrupt money laundering and seize criminal assets.

OBJECTIVE 4: Develop, refine, and implement effective rehabilitative programs -- including graduated sanctions, supervised release, and treatment for drug-using offenders and accused persons--at all stages within the criminal justice system.

OBJECTIVE 5: Break the cycle of drug abuse and crime.

OBJECTIVE 6: Support and highlight research, including the development of scientific information and data, to inform law enforcement, prosecution, incarceration, and treatment of offenders involved in illegal drugs.

### GOAL 3: REDUCE HEALTH AND SOCIAL COSTS TO THE PUBLIC OF ILLEGAL DRUG USE

OBJECTIVE 1: Support and promote effective, efficient, and accessible drug treatment, insuring the development of a system that is responsive to emerging trends in drug abuse.

OBJECTIVE 2: Reduce drug-related health problems, with an emphasis on infectious diseases.

OBJECTIVE 3: Promote national adoption of drug-free workplace programs that emphasize drug testing as a key component of a comprehensive program that includes education, prevention, and intervention.

OBJECTIVE 4: Support and promote the education, training, and credentialing of professionals who work with substance abusers.

OBJECTIVE 5: Support research into the development of medications and treatment protocols to prevent or reduce drug dependence and abuse.

OBJECTIVE 6: Support and highlight research and technology, including the acquisition and analysis of scientific data, to reduce the health and social costs of illegal drug use.

### GOAL 4: SHIELD AMERICA'S AIR, LAND, AND SEA FRONTIERS FROM THE DRUG THREAT

OBJECTIVE 1: Conduct flexible operations to detect, disrupt, deter, and seize illegal drugs in transit to the United States and at U.S. borders.

**OBJECTIVE 2:** Improve the coordination and effectiveness of U.S. drug law enforcement programs with particular emphasis on the southwest border, Puerto Rico, and the U.S. Virgin Islands.

**OBJECTIVE 3:** Improve bilateral and regional cooperation with Mexico as well as other cocaine and heroin transit zone countries in order to reduce the flow of illegal drugs into the United States.

**OBJECTIVE 4:** Support and highlight research and technology, including the development of scientific information and data, to detect, disrupt, deter, and seize illegal drugs in transit to the United States and at the U.S. borders.

**GOAL 5: BREAK FOREIGN AND DOMESTIC DRUG SOURCES OF SUPPLY**

**OBJECTIVE 1:** Produce a net reduction in the worldwide cultivation of coca, opium, and marijuana and in the production of other illegal drugs, especially methamphetamine.

**OBJECTIVE 2:** Disrupt and dismantle major international drug trafficking organizations and arrest their leaders.

**OBJECTIVE 3:** Support and complement source country drug control efforts and strengthen source country political will and drug control capabilities.

**OBJECTIVE 4:** Develop and support bilateral, regional, and multilateral initiatives, and mobilize international organizational efforts against all aspects of illegal drug production, trafficking, and abuse.

**OBJECTIVE 5:** Promote international policies and laws that deter money laundering and facilitate anti-money laundering investigations and the seizure of associated illicit assets.

**OBJECTIVE 6:** Support and highlight research and technology, including the development of scientific data to reduce the worldwide supply of illegal drugs.

# Office of National Drug Control Policy: FY 1997 - 2002 Strategic Plan

## PREFACE

This Strategic Plan sets the course for the Office of National Drug Control Policy (ONDCP) for the period 1997-2002. It provides the agency's long-range goals, strategies, and most importantly, the performance measures by which Congress and the American people will hold it accountable and measure its success. The Government Performance and Results Act (Results Act) and other legislation require this plan which is based on considerable input from stakeholders.

This Plan is divided into 6 Sections. The first, Comprehensive Mission Statement, describes ONDCP's charge. Section 2, Goals and Objectives, lists the long-term Goals and Objectives -- the framework for all national drug control efforts. Section 3, Achieving Goals and Objectives, discusses the five main activities ONDCP contributes to national efforts. Section 4, Relation of Annual Targets to Goals and Objectives, describes how annual performance targets will relate to goals and objectives in accordance with the five-year budget and ten-year strategy. Section Five, Key External Factors, describes, in detail, how success can be affected by external factors beyond agency control. Lastly, Section Six, Program Evaluations Used to Develop Goals and Objectives: Schedule of Future Evaluations, delineates the process to be used by ONDCP to evaluate processes as needed.

## Section I. COMPREHENSIVE MISSION STATEMENT

The Anti-Drug Abuse Act of 1988 (P.L. 100-690, as amended) established the ONDCP and charged it with creating a drug-free America. The Crime Control Act of 1994 (P.L. 103-322) amended this mission by dropping the "drug-free" requirement and extended it to include reducing the illicit drug trade's consequences. The Office accomplishes its mission by setting national drug control priorities and objectives, which it reports annually in the *National Drug Control Strategy (NDCS)*. It also prepares a consolidated federal drug control budget and coordinates *NDCS* implementation by federal drug control agencies. In accordance with the 1994 Act, ONDCP also provides budget guidance to federal drug control agencies and evaluates the effectiveness of federal drug control efforts.

## Section II. GOALS AND OBJECTIVES

By law, each *NDCS* must identify long-term Goals and two-year measurable Objectives. The 1997 *NDCS* contains five Goals and thirty-two Objectives as a framework for all national drug control efforts. These Goals and Objectives provide guidance to all public and private sector agencies and organizations committed to reducing drug use and its consequences. The 32 supporting Objectives allow for measurable progress and may be modified as counterdrug efforts succeed or new challenges emerge. To ensure long-term stability, the Goals must stay constant.

The five Goals cover the three elements of ONDCP's mission: reducing demand, availability, and consequences. Goals One and Three address demand, Goals Four and Five deal with availability, and Goals Two and Three focus on consequences. Five major activity areas, described in Section III, constitute the means by which the agency seeks to accomplish *NDCS* Goals and Objectives.

*NDCS* Goals, approved by the President, transmitted to Congress, and presented to the American people in February 1997, follow:

- Goal 1.** Educate and enable America's youth to reject illegal drugs, as well as alcohol and tobacco.
- Goal 2.** Increase the safety of America's citizens by substantially reducing drug-related crime and violence.
- Goal 3.** Reduce health and social costs of illegal drug use.
- Goal 4.** Shield America's air, land, and sea frontiers from the drug threat.
- Goal 5.** Break foreign and domestic drug sources of supply.

Appendix A lists supporting Objectives by Goal.

## Section III. ACHIEVING GOALS AND OBJECTIVES

In order to achieve the Goals and Objectives, ONDCP undertakes five main activities:

- develops the *NDCS*, refining it annually to reflect new threats and challenges;
- oversees drug control programs in accordance with *NDCS* Goals and Objectives through leadership, policy direction, and consensus-building;
- assesses progress towards achieving the Goals and Objectives;
- reviews drug control agency budgets and annually develops a consolidated federal drug control budget; and
- directs four major programs: High Intensity Drug Trafficking Areas (HIDTAs), the Counterdrug Technology Assessment Center (CTAC), the Media Campaign (an FY 1998 appropriation request), and the Drug-Free Communities Support Program.

A discussion of each activity follows:

### A. National Drug Control Strategy (*NDCS*)

Since passage of the 1988 Anti-Drug Abuse Act, the American people have come to realize that success in anti-drug efforts requires a blend of initiatives to reduce drug use and availability, as well as efforts to reduce its consequences. The 1997 *Strategy* identifies a blend of such initiatives and provides guidance on how to successfully accomplish them. The most recent *NDCS* (Appendix B) describes ONDCP's vision of a coherent, rational, ten-year counterdrug effort. It provides guidance to public and private counterdrug organizations while identifying specific initiatives such as the HIDTA program.

ONDCP's strategies for achieving the Goals and Objectives are based on breaking the five-stage grower-to-user chain linking drug producers both at home and abroad with American consumers: cultivation, processing, transit and importation, wholesale distribution, and retail sales on the street. Supply reduction activities target the first four links in this chain: cultivation, processing, transit, and wholesale distribution. Demand reduction activities, which seek to break the last link in the chain, retail sales, emphasize anti-drug messages to youth. Research by Columbia University's National Center on Addiction and Substance Abuse (CASA) provides strong evidence that youth who grow to maturity without using illegal drugs are likely to remain drug-free for the rest of their lives; therefore, ONDCP's youth-related efforts are geared towards avoiding a new generation of users. Finally, the agency seeks to mitigate the health and social costs of drug dependence as well as drug-related crime and violence associated with the last two links in the chain.

Techniques to remove or reduce the resources by which traffickers ply their trade include eliminating drug related money laundering, seizing drug trafficker assets, interdiction, and controlling precursor chemicals and essential apparatus for the production of illicit drugs.

No national strategy to combat illicit drug use can succeed without recognition of the crucial role played by Congress, state and local governments, communities, and private sector organizations. In order to develop a thorough, balanced ten-year plan that recognizes the diversity of drug control issues across the country, the Office consulted a wide array of experts and officials in both the public and private sectors.

Within the executive branch of the federal government, every Cabinet officer and all relevant departments and agencies helped to develop goals, objectives, drug control budgets, initiatives, and programs. ONDCP also solicited suggestions from every member of Congress and their staffs, as well as from every state governor (including American Samoa, Puerto Rico, and the U.S. Virgin Islands) and mayors from every city with more than 100,000 people. The Director accompanied many Members of Congress to their states and districts in order to learn more about the diversity of drug problems and control strategies across the country. In addition, ONDCP requested the views of public officials who oversee federal, state, and local prevention, education, treatment, law enforcement, correctional, and interdiction activities. The attached *Strategy* provides more details on the consultation process (Appendix B, Chapter VI).

Finally, the Office received input from representatives of more than 4,300 community anti-drug coalitions, chambers of commerce, editorial boards, non-governmental organizations, professional organizations, religious institutions, and private citizens, including chronic drug users, inmates, parents, police officers, prevention specialists, recovered addicts, students, teachers, treatment providers, and victims of drug-related crimes.

## **B. Coordination of *NDCS* Implementation**

ONDCP's creation was a timely response to the fragmentation and overlap of the federal government's drug control programs and budgets. ONDCP's "value-added" rests in its coordination of numerous drug control programs in order to make them function together in an integrated manner to achieve the *Strategy's* goals. Without a "lead" agency in the drug control arena, each agency and department involved in drug control would have different goals, objectives, targets, and measures. While each agency would know whether it is successful, there would be no agency responsible for determining drug control policy's effects on the nation as a whole, measured according to one set of criteria determined by common goals and objectives.

ONDCP's oversight responsibilities involve more than 50 federal agencies and Cabinet departments as well as their state and local partner agencies. Coordinating and overseeing such a vast array of federal anti-drug policies and programs involves providing policy guidance to focus the varied activities of these agencies. Such coordination is integral to achieving the *NDCS* Goals and Objectives (Appendix A).

The three Congressionally-mandated divisions of the Office and the coordination they provide in *NDCS* implementation are as follows:

Demand Reduction Coordination: The Office of Demand Reduction (ODR) develops and coordinates policies and programs to reduce the use of illicit drugs. ODR coordinates the programs of Federal agencies engaged in efforts to implement Goals One through Three of the National Drug Control Strategy. In addition, ODR works closely with a broad range of non-Federal entities, including state and local governments, national associations representing demand reduction groups and organizations, anti-drug parent groups, civic organizations, and other groups to encourage their support for the goals of the *Strategy*. A variety of coordination mechanisms are used, including interagency meetings, conferences, and ad hoc assemblies.

Supply Reduction Coordination: The Office of Supply Reduction (OSR) develops and coordinates policies and programs to reduce the supply of drugs and coordinates international drug control strategies for cocaine, heroin, and other drugs. OSR provides agency oversight for implementation of *NDCS* Goals Four and Five through drug control community interagency working groups. OSR gives drug control agencies classified tasks via the *NDCS* Classified Annex and provides policy input to resource allocation issues for international and interdiction programs. Through the United States Interdiction Coordinator (USIC), OSR and interdiction agencies ensure that interdiction assets are optimally coordinated. USIC also provides non-operational oversight for interdiction programs.

Intergovernmental Coordination: The Bureau of State and Local Affairs (BSLA) coordinates agency relationships and outreach efforts to state and local government agencies, as well as rural areas and public interest groups, to promote the *NDCS*. The Bureau gathers input for the *NDCS* from state and local drug-related government agencies, administers the HIDTA program, promotes coordination among federal, state, and local counternarcotics programs, evaluates these programs, and establishes partnerships with state and local governments.

### **C. Measurement**

ONDCP has designed a Performance Measurement System in order to monitor progress towards achieving *NDCS* Goals and Objectives. This system will use trend data to identify areas that are not performing well and undertake in-depth program evaluations to identify factors that need modification. The products of this system will support budget, program, and policy decisions.

The key features of this system are:

- identification of performance targets and measures for each of the *NDCS* Goals and Objectives by interagency Working Groups,

- evolution of a logic model linking the Goals and Objectives to the performance targets and providing some degree of prima facie validity to causal linkages,
- development of an information management system (IMS) that collects data reports from working groups, comprised of representatives of affected drug control agencies, and other sources and synthesizes them for analysis,
- analysis of performance and progress towards the targets,
- recommendations for major policy and minor programmatic changes (minor changes to be made by the Working Groups and major decisions to be determined by the Director, agency heads, and Department Secretaries), and
- in-depth program evaluations involving ONDCP and Working Groups.

ONDCP, in concert with representatives from the agencies and Cabinet departments with responsibilities under the *NDCS*, has identified measurable targets for the *NDCS* Goals and Objectives. These are in the process of review and agency clearance, due to Congress February 1998. Most of the draft targets are quantitative, and those that are qualitative allow for assessment.

The Information Management System (IMS) is a vehicle for data collection, data processing, and *Strategy* monitoring. Data provided by the working groups and other sources constitute the foundation of the IMS. The IMS, reflecting the underlying causal model linking *NDCS* Goals and Objectives with the targets identified, will provide a set of automated tools enabling ONDCP to analyze progress towards achieving the targets and conduct program evaluations with the working groups on an as needed basis.

#### **D. Budget Oversight**

During the past year, ONDCP has guided Federal drug control agencies through a new comprehensive process for developing annual drug control budgets and forecasting future requirements. This process begins with the development of the *NDCS*, which forms the Administration's long-range plan to address the drug control issues of demand reduction, law enforcement, interdiction and international support programs. Each agency develops a long-range plan for its own mission and responsibilities to support the National Drug Control Strategy. Agency budget plans outline, in broad terms, the types of field operations, grant programs, and structure the agency will need in the out years to fulfill its drug control responsibilities.

Using program guidance for the first five years of the National Drug Control Strategy, as well as supplemental program guidance issued by the ONDCP Director, agencies develop five-year budget plans, which represent formal input to the President's Budget for the upcoming year. Each year, the agencies update their five-year forecast prior to submitting the next budget to

OMB. This process allows agency leaders to continually assess feedback and incorporate guidance, revise requirement estimates or revise dollar ceilings, and modify annual budget document and out year forecasts accordingly.

ONDCP as authorized by law issues budget and program guidance, by July 1st, to Federal drug control agencies to use in developing their Summer and Fall drug control budget submissions.

Each Federal government program manager, agency head, and department head with responsibilities under the National Drug Control Strategy are required by law to transmit their drug control budget request to ONDCP for review and certification. ONDCP certifies that each Federal drug control agency's budget submission is adequate to implement goals and objectives of the National Drug Control Strategy. This entire process of budget development and certification is essential for ONDCP to meet its legal mandate to develop a consolidated National Drug Control budget.

## **E. ONDCP-Directed Programs**

### **1. High Intensity Drug Trafficking Area (HIDTA) program**

High Intensity Drug Trafficking Areas (HIDTAs) are those regions of the country whose drug trafficking problems have a critical adverse impact on the rest of the country. In designating these areas as HIDTAs, ONDCP seeks to promote effective coordination of local, state, and federal drug law enforcement. The Executive Committee of each HIDTA, composed of 16 representatives from local, state, and federal agencies, reflects this intent.

These partnerships assess regional drug threats, design strategies to combat the threats, and develop initiatives to implement the strategies. Process-oriented when first designated, maturing HIDTAs

- institutionalize teamwork through continuous joint planning and implementation,
- promote balanced partnerships of local, state, and federal law enforcement agencies,
- coordinate resources for joint interdiction, intelligence, investigation, and prosecution activities, and
- reduce duplication and increase synergy through collaboration and collocation of partnership members.

Since January 1990, the Director has designated counties in the following 17 areas as HIDTAs, each of which faces different threats and employs different strategies: New York/New Jersey, Los Angeles, Miami, Houston, the Southwest Border, Baltimore/Washington, Puerto Rico/U.S. Virgin Islands, Chicago, Atlanta, Philadelphia/Camden, the Rocky Mountains, the

Gulf Coast, Lake County (IN), the Midwest, the Pacific Northwest, San Francisco Bay, and South East Michigan.

## 2. Counterdrug Technology Assessment Center (CTAC)

Congress established CTAC within ONDCP in 1990 to oversee and coordinate federal counterdrug enforcement research and development activities. Twenty-one federal law enforcement agencies with counterdrug missions participate in the national counterdrug enforcement research and development program. As the central counterdrug enforcement research and development organization of the federal government, CTAC is responsible for identifying and defining the short, medium, and long-term scientific and technological needs of the federal drug enforcement agencies. The Center's efforts to identify needs and oversee development activities concentrate on eliminating duplication of effort and identifying gaps in capability which may be filled by advancements in technology. CTAC will soon publish a ten-year counterdrug technology development plan for the drug control community.

In 1993, CTAC's role expanded to include demand reduction activities. The Center now works with the National Institute on Drug Abuse (NIDA) to examine addiction and rehabilitation research and to use technology to increase the effectiveness and availability of drug treatment. CTAC and NIDA scientists apply advancements in technology to understand the underlying causes of drug abuse and addiction, as well as their long-term effects in the human brain.

## 3. Media Campaign

Following a 13-year decline in youth substance abuse ending in approximately 1990, youth are abusing drugs at an increasing rate. At the same time, anti-drug news and public service messages have declined markedly since 1989 while messages normalizing and glamorizing illicit drug use have proliferated in music, television, the Internet, and other media. ONDCP hopes to implement two major programs, entailing extensive resources, reflecting its responsibility to turn these trends around -- a media campaign (described here) and a community coalition grant program (described in the next section).

The recent upsurge in pro-drug media messages requires anti-drug retaliation in kind. Children must be made aware of the dangers of drug use. As the University of Michigan's *Monitoring the Future Study* makes clear, there is a strong association between declining youth disapproval of illicit drug use and increasing youth drug use. Hence, the White House proposed, in the fiscal year 1998 budget, an anti-drug use media campaign to counter media messages/images portraying drug use as acceptable and to increase youth awareness of the high risks associated with illicit drug use.

Because children spend more time watching television than they spend in school, ONDCP will focus on a paid media campaign, including prime-time television ads to convey the consequences of illicit drug use to youth and their parents. Unlike Public Service

Announcements (PSAs), which do not appear in prime-time slots, these paid spots will more effectively communicate the message, just as firms sell their products, by airing while kids and their parents are watching. While the message addresses kids, it also reaches baby-boomer parents who may be ambivalent about sending strong anti-drug messages to their kids.

As ONDCP negotiates media time slots, it hopes to see a commensurate level of public service contributions from the media and corporate partners. While the paid campaign will be limited to messages about illicit drugs, the public service component may include a variety of drug-related issues, including mentoring and underage alcohol and tobacco use.

#### 4. Drug-Free Communities

Community coalitions have been at the forefront of efforts to curb this decade's disturbing reversal of youth drug use trends, successfully developing and implementing comprehensive, long-term strategies to reduce youth substance abuse via prevention and treatment. Therefore, in order to reduce substance abuse among today's youth, tomorrow's adults, ONDCP will administer matching grants to community coalitions.

Grantees must demonstrate the ability to bring together representatives from many segments of their communities in a long-term commitment to reduce substance abuse among youth. These coalitions must involve youth, parents, businesses, media, schools, organizations serving youth, law enforcement professionals, religious or fraternal organizations, civic and volunteer groups, health care professionals, government officials with expertise in the field of substance abuse, and if feasible, elected officials. The program will ensure the long-term nature of communities' commitments by granting funds only to those coalitions that are sustainable without federal assistance.

#### **F. Human Resources**

The FY 1998 federal drug control request is \$16 billion, of which \$351.2 million is for ONDCP's Salaries and Expenses Account (S&E), High Intensity Drug Trafficking Area Account (HIDTA) and Special Forfeiture Fund Account (SFF).

ONDCP's FY 1998 request for S&E is \$36 million, which include \$18 million for operations, \$17 million for CTAC, and \$1 million for policy research. With 124 staff and 30 detailees, ONDCP undertakes the five major areas discussed in this section. CTAC has been described earlier. ONDCP's policy research emphasizes issues related to knowledge development, drug use trends, emerging drugs, drug availability, and program evaluation.

ONDCP's FY 1998 request is \$140.2 million for HIDTA and \$175 million (SFF) for the national media campaign. Both programs have been described earlier along with the Community Grants program for which \$10 million was provided.

## Section IV. RELATION OF ANNUAL TARGETS TO GOALS AND OBJECTIVES

The key measure of ONDCP's effectiveness is the extent to which the *NDCS* Goals and Objectives (Appendix A) are achieved. The achievement of Goals and Objectives is indicated by realizing the national targets and measures for 2002 and 2007 corresponding to a five-year budget and ten-year *Strategy* as outlined in the Administration's bill to reauthorize ONDCP. These draft targets and measures, developed collaboratively with interagency working groups, are in the process of review and clearance. ONDCP will submit the draft targets and measures to Congress in February 1998.

The key performance measures that reflect the impact of drug control activities on the *NDCS* goals are as follows:

- Reduce the demand for illicit drugs in the United States
- Research the prevalence of drug use among youth
- Increase the average age of new users
- Reduce the prevalence of drug use in the workplace
- Reduce the number of chronic drug users
- Reduce the health and social costs associated with drugs
- Reduce availability of illicit drugs in the United States
- Reduce shipment of illicit drugs from source countries
- Reduce the entry of illicit drugs into the U.S.
- Reduce domestic cultivation and production of illicit drugs
- Reduce availability of drugs in the U.S. High Intensity Drug Trafficking Areas
- Reduce the rate of crime associated with drug trafficking and use

The draft performance targets for these measures along with targets for the 32 objectives have been developed by ONDCP and working groups consisting of representatives from the Department of Defense, the Department of Education, the Department of Justice (BJA, BJS, DEA, FBI, INS, NDIC, OJJDP, USBP), the Department of State, Health and Human Services (CDC, NIAAA, NIDA, NIH, SAMHSA) and the Department of Treasury, as well as other Departments and Agencies. These targets are currently being reviewed by the agencies and will be presented to Congress in February 1998.

The next step will be to develop annual targets for the national drug control effort -- ONDCP's annual Performance Plans will contain detailed annual targets that indicate progress towards achieving the 2002 and 2007 targets.

In some cases, the annual Performance Targets will be the same as the 2007 Performance Goals except that the target number or percentage will be different. For instance, the 2007 target for Goal One will be "reduction of youth use of illicit drugs by X percent" (different percentages for each drug); the annual Performance Target may be maintenance of current use levels for a few years with a decline thereafter (the rate of decline will vary by drug).

In other cases, the annual target will be a critical milestone leading to the target identified for 2007. For instance, the 2007 target for Goal Two will be the reduction of drug-related crime by Y percent; the annual target Goal may be a reduction of crime rates in a key area. Another annual target may be a pre-determined recidivism rate, a program outcome likely to affect the goal-oriented target of reducing crime. In both cases, there is a direct link between the annual targets and the Goals and Objectives; the former provide a means of annually assessing progress towards achieving the latter.

In addition to the outcome-oriented targets currently being reviewed by drug control agencies, secondary output and process-oriented targets for each of the five activity areas described earlier have been identified or described in the following section:

#### **A. Strategy**

The timely production and dissemination of a national strategy is the key Performance Goal for this activity area. The strategy provides policy guidance and sets priorities in accordance with the legislation and the mission. In accordance with the Crime Control Act of 1994, ONDCP has annually included in the *Strategy* an assessment of the quality of current drug use measurement instruments and techniques to measure demand reduction and supply reduction, an assessment of the adequacy of such instruments to measure the casual drug user population, and a discussion of actions needed to correct identified deficiencies. It also includes a discussion of specific factors that restrict the availability of treatment to those who seek it as well as proposed remedies.

#### **B. Coordination of NDCS Implementation**

In order to encourage private and public sector initiatives at federal, state, and local levels, ONDCP consults with public officials and the private sector and keeps Congress and the public informed of developments. Annual targets would list some of the major initiatives in this area and annual Progress reports would list key meetings and conferences. Examples include meetings with state governors, briefings to news media, conferences on methamphetamine, the role of the entertainment industry, and international forums hosted by the United Nations Drug Control Programs, the Association of Southeast Asian Nations, etc.

ONDCP conducts research to support the policy development process, assesses changing trends in demand and supply, monitors trends in drug use, and identifies emerging drug problems. Performance measures include publication of the *Pulse Check*, reports on the retail value of drugs, the drug market, chronic users, and illicit drug prices, as well as other policy studies that the agency undertakes and commissions for use by the drug control community.

### **C. Measurement**

Annual targets for ONDCP measurement activities will be milestones that indicate progress toward completion of the performance measurement system. For instance, by February 1998, ONDCP anticipates submitting the draft 2002 and 2007 performance targets and measures to Congress. That submission represents the first critical milestone in the development of the system. After the system is established, the agency will have to make refinements for several years because there is a lack of consistent definitions across state and local facilities (e.g. zero tolerance policies), data protocols (e.g. treatment capacity), and intergovernmental agreements on optimum ways of addressing common issues (e.g. definition of "mentoring"). The need to gather outcome-related data pertaining to source or transit country issues (e.g. corruption) will also provide a challenge. The development of this system will probably take three to five years, but the agency anticipates preliminary measurement data as early as 1998.

### **D. Budget Oversight**

ONDCP's budget oversight authority influences the shape of the budgets that agencies send to the President for consideration in preparing the Administration's budget each fiscal year. ONDCP, by law, is to certify that each Federal drug control agency's budget submission is adequate to implement the goals and objectives of the National Drug Control Strategy. The Budget process begins early in the Spring when ONDCP issues budget guidance for the budget year and the four planning years. This initial budget guidance provides the framework for Federal drug control agencies to use in constructing their Summer and Fall submissions.

By July 1st of each year, ONDCP is required to develop specific program guidance that each Federal drug control agency uses to develop their drug control budget submissions. Specific program guidance forms the basis for Summer and Fall budget certifications.

The budget oversight process results in the development of a consolidated National Drug Control Budget for presentation to the President and the Congress. Also, ONDCP supports drug control agencies' drug budget submissions during the Congressional review process.

ONDCP will determine the success of its budget oversight function using the following measurement criteria:

- comprehensive and coordinated budget guidance issued by July 1st of each fiscal year;
- timely and comprehensive Summer and Fall budget certifications, which provide sufficient detail and structure to allow agency and OMB budget officials to both be aware of, and carefully consider, ONDCP's funding priorities over the 5-year budget planning period
- publication of a consolidated National Drug Control Budget to be issued concurrent with the National Drug Control Strategy

## **E. ONDCP-Directed Programs**

### **1. HIDTA**

All HIDTAs are required to establish systems to measure their performance towards achieving agreed-upon performance targets. Because the HIDTA mission is to reduce drug trafficking in the most critical areas of the country (Goal 2, Objective 2), disrupting, dismantling, or rendering ineffective a proportion (as specified in Annual Performance Plans) of targeted drug trafficking organizations (and traffickers) is a key performance target. Another important target is disrupting, dismantling, and rendering ineffective drug-related money laundering organizations. The most important target is the reduction of drug-related crimes in HIDTAs by pre-specified percentages; this reflects the extent to which Goal 2 on Public Safety has been met in the HIDTAs. These represent key effectiveness targets for the HIDTA program.

Interim targets include progressive adoption of the National HIDTA Developmental Standards that improve efficiency. For instance, identification of criminal organizations/persons should be coordinated to facilitate cross-case analysis, prevent duplication, and ensure that HIDTA Executive Committees have sufficient information to establish priorities. The number of HIDTAs meeting various standards would be documented.

Funding priority will be determined, in part, by the extent of performance target achievement. Funds will be made available primarily for those initiatives that most directly lead to the accomplishment of projected outcomes.

### **2. CTAC**

CTAC's activities are subsumed under the research Objectives for each of the *NDCS* Goals. (The last Objective for each Goal addresses research and technology concerns.).

Its effectiveness will, as a result, be assessed as part of ONDCP's performance measurement system.

The effectiveness of any research and technology program is determined by the extent to which it increases the agency's impact upon the problems it sets out to resolve. CTAC's eventual effectiveness is determined, therefore, by the extent to which drug use, drug availability, and its consequences are reduced, as shown by the impact on the five *NDCS* Goals. The difficulty, of course, is to ascertain which part of the "success" is attributable to CTAC. This would require an expensive program evaluation, including the development of a logic-model identifying CTAC's role along with that of other agency programs participating in the achievement of the relevant targets. For instance, one would have to assess what part of the reduction in the availability of cocaine (Goal 5 target) would be attributable to CTAC.

The ONDCP Performance Measurement System proposes to undertake this kind of evaluation primarily in situations where the *NDCS* targets are not being met and it is determined applications of advanced technologies could provide a solution. In view of the cost incurred in such in-depth program evaluations, ONDCP proposes to track intermediate outcomes in accordance with its two principal roles of oversight and coordination.

CTAC's performance measures depend on the time frames into which user agencies fall. Agencies within the 0-3 time frame would be least likely to adapt to changing requirements. The relevant output measure would be the number of CTAC assessments of existing technologies in terms of their contribution to the effectiveness and efficiency of user agencies within the framework of the national goals and objectives as described in the *Strategy*. Agencies within the 4-6 year time frame might be influenced by technology requirements. The output measure would, therefore, be the number of advanced technology prototypes evaluated by CTAC to assess the conditions under which they could be made operational. Emerging technology development efforts focus on the 7-10 year time horizon, for which CTAC will use the intermediate outcome measure of the number of CTAC-funded or assessed technologies that are fielded or deployed by the user community. This would provide an assessment of the utility of CTAC efforts.

These and other such targets would assess the extent to which CTAC-funded or developed advanced systems were deployed: they would be complemented with case-specific information on their effect on efficiency and effectiveness. An example might be the Antibody Field Test kit used by the FBI to detect cocaine residue on a cell phone of a cartel money dealer: a \$7 million cash seizure resulted. Effects on the number of arrests, amount of drugs detected in various kinds of shipping containers and vehicles, and lower costs might be documented. Other examples of CTAC response to user-identified need, such as the Data Locator System, might be identified and the resultant increase in the

number of (interjurisdictional) drug criminals apprehended, documented. In addition, the number of duplicative efforts among agency counterdrug R&D programs may be documented.

In the short-term, CTAC would track output measures such as the number of regional workshops and conferences sponsored, number of counterdrug research programs coordinated and supported, and the number of deployed systems that were CTAC- funded or developed. Evaluations of competing technologies, for instance, ones that electronically but non-intrusively search sealed trucks, containers, and railroad cars for hidden drugs, would be counted. These output measures would reflect the activity-level of CTAC.

Qualitative assessments, conducted on as-needed basis, might focus on CTAC support for improving law enforcement operations against drug traffickers and its exploitation of information processing technology to target and disrupt drug traffickers -- examples include pilot projects such as WCFN (West Florida Counterdrug Investigative Network) and Borderline.

### 3. Media Campaign

Since the goal of the media campaign is to reduce illegal drug use among those who receive anti-drug messages (and indirectly, those they influence), the ultimate outcomes or impact targets are the effect they have on youth drug use as indicated by the percent of youth who use drugs and age of first time use. Program outcomes also include changes in attitude such as the percent of youth perceiving risk, the percentage of youth disapproving of drug use, and increased awareness of the campaign. In addition, outputs measures such as the number of television hours devoted to anti-drug programming and number of youth viewing the messages, may be documented.

This may be done through a pre-post monitoring and assessment of these performance measures through a random sample of communities. Of course, isolating the effect of the national campaign would require considerable modeling to factor out other interventions that may affect drug use behavior (such as non-ONDCP Public Service Announcements, school prevention programs, etc.). This initiative is included in ONDCP's Performance Measurement System, as part of the objective on mass communication (Goal 1, Objective 2).

### 4. Drug-Free Communities

The Community Anti-Drug Act of 1997 was signed into law by the President on June 27. Although the status of FY 1998 appropriations in support of the Act is still unclear, ONDCP has begun developing plans for evaluating the program. The organizational

identity of the evaluator has not yet been decided but some combination of Federal and local efforts, through a performance partnership, is likely.

The effectiveness of the program would be reflected by the percentage of communities receiving grants that manifest documented evidence of reductions in substance use. Candidate indicators might be reduced youth use, decreased emergency room and hospitalization rates, reduced infectious disease rates, and reduced crime. Intermediate outcomes might be the percent of grantee communities closing/eliminating drug dens and crack houses, closing venues for drug sales, and increasing avenues for reducing youth risk factors. An additional indicator might be the percentage of grantee communities with comprehensive anti-drug coalitions. This initiative is addressed as part of Goal 1's prevention efforts (Objective 6).

Shorter-term outputs might include the number of participating organizations, the number of neighborhood watches organized, the number of community-based efforts to inform people on the dangers of drug, alcohol, and tobacco use in each grantee community. Program outputs could include number of communities involved, number of people volunteering, number of grants distributed, funds disbursed, areas targeted, etc. As always, the determination of causality would require considerably more effort in modeling causal links and testing them statistically, or alternatively, a randomized program design which might be politically difficult.

## Section V. KEY EXTERNAL FACTORS

Mission success may be affected by a number of key external factors:

- Factors that cannot be predicted long-term:
  - Changes in demographic factors could alter the nature of the drug problem. For instance, demographic events like changes in birth rate could affect critical targets related to drug demand. ONDCP will attempt modeling to anticipate such events; however, targets developed in the interim will probably require modification.
  - Economic downturns can affect the use and availability of drugs: these are difficult to anticipate and can affect key targets for all five Goals.
  - Health-related targets assume that no new drug-related infectious disease will emerge in the next five years.
  - Achievement of drug supply-related targets depends on political, economic, and social stability in source and transit countries. If these countries lack sufficient stability, it is unlikely they will be able to focus resources on their drug problems, thus making multilateral anti-drug agreements and other international anti-drug efforts much more difficult to implement.
- Intergovernmental issues relating to state and local operation of federally funded drug-control program
  - Schools are responsible for drug-control programs but education is a state/local function. ONDCP cannot require schools to adopt evaluated-and-tested prevention programs or implement zero tolerance policies to reduce the incidence of youth drug use. Achievement of certain prevention-related targets could be difficult due to the lack of legislative mandate for requiring performance-related accountability from state and local partners.
  - State operation of treatment facilities is not uniform in its protocols or data collection techniques. States are not required by law to adopt consistent definitions, such as "treatment capacity" or "time spent on waiting list," necessary for national aggregation. Difficulty in ensuring state participation in these federal efforts to improve the effectiveness of drug treatment can affect *NDCS* targets.
  - Legislation providing grants to local law enforcement task forces does not require agreed-upon performance targets in return. Lack of cooperation from intergovernmental and interjurisdictional law enforcement task forces could affect related targets.
  - Prevention-related targets depend considerably on state cooperation regarding drinking age legislation. States that lower drinking age requirements send messages undermining *NDCS* efforts to communicate the dangers of youth alcohol use.

Without modifications to current legislation that would require performance agreements in conjunction with federal grants to state and local agencies, securing state and local cooperation may be problematic enough to affect *NDCS* targets.

- Private sector actions can affect *NDCS* targets in several areas.
  - The growth of managed care systems may adversely affect *NDCS* targets by decreasing coverage of substance abuse treatment services. If fewer people who require treatment can afford it, drug treatment accessibility will not increase unless taxpayers shoulder a higher Medicaid burden.
  - Private-sector encouragement of propositions legalizing the use of marijuana or other illicit drugs can undermine achievement of *NDCS* targets.
  - In order to form partnerships with the media, entertainment industry, and professional sports organizations, these groups must be willing partners. If one or more of these groups is unwilling to form partnerships with the Office, then achieving media-related targets could prove difficult.
  - Lack of information on rogue pharmaceuticals manufacturing methamphetamine precursors can affect target achievement.
  
- International issues can affect Goal Four and Goal Five targets.
  - The U.S. government must devote necessary attention to a diverse plan of action to facilitate drug control efforts in all major illicit drug source and transit countries. This plan of action includes diplomatic, law enforcement, and intelligence gathering activities.
  - Major source and transit countries with which the U.S. has diplomatic relations must zealously oppose trafficker violations and exploitation of their territories. If these countries fail to aggressively pursue domestic and international anti-drug efforts, then supply reduction operations will face persistent obstacles.

Congressional support is, of course, critical to achieving the national drug control targets particularly because ONDCP neither controls the \$16 billion drug control budget nor operates anti-drug programs (except for its \$351 million and the four programs it directs). Using coordination powers, the agency develops policies to mobilize the drug control community to achieve mutually-developed targets. In part, success will depend on the extent to which federal, state, local, and private agencies and in fact, the public as a whole, perceive that Congress and the White House support ONDCP in a variety of areas -- legislative modifications as needed and assistance in resolving external factors that impede performance.

## **Section VI. PROGRAM EVALUATIONS USED TO DEVELOP GOALS AND OBJECTIVES; SCHEDULE OF FUTURE EVALUATIONS**

In accordance with ONDCP's mission to coordinate and direct the drug control efforts of federal agencies, the *NDCS* Goals and Objectives were developed through a collaborative effort with these agencies. Working groups established along the lines of the five Goals (prevention, law enforcement, treatment, interdiction, and source country supply) formulated the 32 Objectives contained in the *NDCS*. Members of the working groups formulated the Objectives based upon extensive research and evaluation that indicated that (1) the issues addressed in the objectives were pertinent to achieving the particular goals and could be measured, and (2) agency programs supportive of the Objectives existed or could be developed, and would contribute to achieving the Goals within the specified time frame. For example, Goal Three of the *NDCS* is "Reduce health and social costs to the public of illegal drug use." Objective Two of this Goal is directly supportive of that goal; it states: "Reduce drug-related health problems, with an emphasis on infectious diseases." Research has documented that drug-related infectious diseases, such as tuberculosis, hepatitis, HIV/AIDS, and other sexually transmitted diseases exact a tremendous toll on society in the form of increased mortality and morbidity, increased burden on the health care and criminal justice system, and lost productivity in the workplace. Several agencies, including NIDA, SAMHSA, and CDC have programs to address the reduction of drug-related infectious diseases, the continuing evaluation of which will provide measures of success in achieving this objective.

The IMS to be developed as part of the Performance Measurement System will track data on various measures that show the extent to which targets have been achieved for each *NDCS* Goal and Objective. ONDCP, in collaboration with its interagency working groups, will conduct future program evaluations when trend data indicate that an Objective is not being achieved or that a geographical area is not performing well. This approach conserves scarce resources to focus on the most problematic areas that affect the success of the *NDCS*. The actual schedule will, therefore, be determined by the trend data on the key effectiveness indicators.

In addition to this national evaluative effort, ONDCP coordinates a variety of evaluative efforts, particularly in the prevention and treatment area. Examples include funding to state drug abuse agencies through block grants to conduct needs assessments to estimate the need for alcohol/drug-related services in these states.

## CONCLUSION

The efforts described in the preceding pages reflect ONDCP's dedication as well as substantial feedback from agencies and stakeholders, particularly in developing the Goals and Objectives, the *Strategy*, and the performance targets and measures. The coordinated efforts of 50 Federal Agencies and Departments directed by ONDCP can result in the vision of a drug free America. The programs outlined in this plan are an integral part of the *NDCS*, and make it possible to reach the overarching goal of reducing illegal drug use and its consequences. This plan offers significant assistance in building an all-encompassing, balanced approach to reduce both demand and supply resulting in diminished consequences for our nation. It will not be easy, nor will it be cheap but the alternatives are dire. As required by law, this Plan offers a measurable, sustainable option in the quest to rid America of this problem.

## APPENDIX A. GOALS AND OBJECTIVES

- Goal 1.** Educate and enable America's youth to reject illegal drugs, as well as alcohol and tobacco.
- Objective 1.** Educate parents or other care givers, teachers, coaches, clergy, health professionals, and business and community leaders to help youth reject illegal drugs and underage alcohol and tobacco use.
  - Objective 2.** Pursue a vigorous advertising and public communications program dealing with the dangers of drug, alcohol, and tobacco use by youth.
  - Objective 3.** Promote zero tolerance policies for youth regarding the use of illegal drugs, alcohol, and tobacco within the family, school, workplace, and community.
  - Objective 4.** Provide students in grades K-12 with alcohol, tobacco, and drug prevention programs and policies that have been evaluated and tested and are based on sound practices and procedures.
  - Objective 5.** Support parents and adult mentors in encouraging youth to engage in positive, healthy lifestyles and modeling behavior to be emulated by young people.
  - Objective 6.** Encourage and assist the development of community coalitions and programs in preventing drug abuse and underage alcohol and tobacco use.
  - Objective 7.** Create a partnership with the media, entertainment industry, and professional sports organizations to avoid the glamorization of illegal drugs and the use of alcohol and tobacco by youth.
  - Objective 8.** Support and disseminate scientific research and data on the consequences of legalizing drugs.
  - Objective 9.** Develop and implement a set of principles upon which prevention programming can be based.
  - Objective 10.** Support and highlight research, including the development of scientific information, to inform drug, alcohol, and tobacco prevention programs targeting young Americans.
- Goal 2.** Increase the safety of America's citizens by substantially reducing drug-related crime and violence.
- Objective 1.** Strengthen law enforcement - including federal, state, and local drug task forces - to combat drug-related violence, disrupt criminal organizations, and arrest the leaders of illegal drug syndicates.
  - Objective 2.** Improve the ability of High Intensity Drug Trafficking Areas (HIDTAs) to counter drug trafficking.
  - Objective 3.** Help law enforcement to disrupt money laundering and seize criminal assets.
  - Objective 4.** Develop, refine, and implement effective rehabilitative programs - including graduated sanctions, supervised release, and treatment for drug-abusing offenders and accused persons - at all stages within the criminal justice system.

- Objective 5.** Break the cycle of drug abuse and crime.
- Objective 6.** Support and highlight research, including the development of scientific information and data, to inform law enforcement, prosecution, incarceration, and treatment of offenders involved with illegal drugs.

**Goal 3.** Reduce health and social costs to the public of illegal drug use.

- Objective 1.** Support and promote effective, efficient, and accessible drug treatment, ensuring the development of a system that is responsive to emerging trends in drug abuse.
- Objective 2.** Reduce drug-related health problems, with an emphasis on infectious diseases.
- Objective 3.** Promote national adoption of drug-free workplace programs that emphasize drug testing as a key component of a comprehensive program that includes education, prevention, and intervention.
- Objective 4.** Support and promote the education, training, and credentialing of professionals who work with substance abusers.
- Objective 5.** Support research into the development of medications and treatment protocols to prevent or reduce drug dependence and abuse.
- Objective 6.** Support and highlight research and technology, including the acquisition and analysis of scientific data, to reduce the health and social costs of illegal drug use.

**Goal 4.** Shield America's air, land, and sea frontiers from the drug threat.

- Objective 1.** Conduct flexible operations to detect, disrupt, deter, and seize illegal drugs in transit to the U.S. and at U.S. borders.
- Objective 2.** Improve the coordination and effectiveness of U.S. drug law enforcement programs with particular emphasis on the southwest border, Puerto Rico, and the U.S. Virgin Islands.
- Objective 3.** Improve bilateral and regional cooperation with Mexico as well as other cocaine and heroin transit zone countries in order to reduce the flow of illegal drugs into the U.S.
- Objective 4.** Support and highlight research and technology - including the development of scientific information and data - to detect, disrupt, deter, and seize illegal drugs in transit to the U.S. and at U.S. borders.

**Goal 5.** Break foreign and domestic drug sources of supply.

- Objective 1.** Produce a net reduction in the worldwide cultivation of coca, opium, and marijuana and in the production of other illegal drugs, especially methamphetamine.
- Objective 2.** Disrupt and dismantle major international drug trafficking organizations and arrest, prosecute, and incarcerate their leaders.
- Objective 3.** Support and complement source country drug control efforts and strengthen source country political will and drug control capabilities.
- Objective 4.** Develop and support bilateral, regional, and multilateral initiatives, and mobilize

international organizational efforts against all aspects of illegal drug production, trafficking, and abuse.

**Objective 5.** Promote international policies and laws that deter money laundering and facilitate anti-money laundering investigations as well as seizure of associated assets.

**Objective 6.** Support and highlight research and technology, including the development of scientific data, to reduce the worldwide supply of illegal drugs.

Office of National Drug Control Policy



# Performance Measures of Effectiveness

A System for Assessing the Performance  
of the National Drug Control Strategy

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